

# Assessment of the CWS/CMS Project Office

## County APD Approval Process

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# **1 Introduction**

## **1.1 Background**

County funding is reliant upon State and Federal matching funds for County costs associated with procurement of Child Welfare Services/Case Management System (CWS/CMS) information technology (IT) goods and services. For counties to be eligible to receive State and federal matching funds on these procurements, counties must prepare, submit, and receive approval from the State, and in some cases, the Administration for Children and Families (ACF), on County Advance Planning Documents (APDs) prior to conducting procurement activities. Preparation of these APDs must adhere to State and federal guidelines to ensure county eligibility to receive matching funds upon completion of each executed contract.

The County APD Process, which is administered by the CWS/CMS Project Office, supports the State's documented adherence to federal regulations related to contracting and provides the following benefits:

- Ensures continuing acceptance, compliance and proper use of the County APD Process
- Details the changed CWS/CMS County APD Process, creating controls to ensure that CDSS and ACF approval is acquired where necessary
- Ensures continuing matching funds for County APDs

This process provides the mechanism for the State to review county APDs to ensure adherence to State and federal guidelines related to procurement of CWS/CMS IT goods and services. Inadequate or inaccurate documentation critically delays funding and may result in withholding of funding by ACF or the State. Further, delays in State or federal approval of county APDs can adversely impact a county's ability to conduct technology projects such as technology refresh, and may prevent a county from expending funds during the year for which those funds were budgeted.

It has become increasingly difficult for counties to obtain timely approval of County APDs, which has prompted the State to undertake the CWS/CMS County APD Process Project.

## **1.2 Purpose**

Due to county concerns regarding lengthy delays in State and federal approval of County Advance Planning Documents (APDs), a CWS/CMS County APD Process Project Team was formed at the behest of State and county stakeholders. This project was conducted to assess the current County APD process and determine what process changes and/or re-engineering efforts, if any, would be required to correct the problems that are preventing timely and efficient processing of County APDs.

The purpose of this document is to provide the results of this assessment and gain formal stakeholder approval through a memorandum of understanding (MOU) of the goals and recommendations provided within this document.

## **1.3 Scope**

The scope of this project was limited to assessment of the CWS/CMS Project Office County Approval Process (also known as the County APD Process) and did not attempt to reengineer or

perform process improvements to other areas of the County Funding Process (e.g., County Annual Planning Estimate, Claiming Procedures, etc.). Although this project refined the CWS/CMS County APD approval process, it did not focus on documenting the underlying standards and guidelines used to build and evaluate APDs. However, documenting these underlying standards and guidelines is necessary to obtain timely approval of County APDs. The process will be reengineered/refined again after these standards and guidelines are prepared.

The project scope included:

- Research and analysis of the CWS/CMS Project Office County APD Approval Process and supporting resource documents.
- Facilitation of meetings between the CWS/CMS Project Office, CDSS, County Welfare Directors Association (CWDA), and the counties to reach consensus on all aspects of the final products.
- Establishment of a reengineered process for managing, monitoring, and controlling County APD documents and related information.
- Creation of guidelines, processes, and procedures required to complete future year CWS/CMS County procurements.

The project scope did not include:

- The analysis, definition, and documentation of the process business rules.
- Expansion of the existing County Annual Planning Estimate (CAPE) automation, or creation of new automated processes.

## **1.4 Project Objectives**

The project objective, as defined in the CWS/CMS County APD Process Project Charter, was to reengineer the current County APD Process to create an improved and coherent process flow. To achieve the objective it was necessary to:

- Analyze and document the current County APD Process
- Determine process improvements and stakeholder business goals
- Facilitate the reengineering of the County APD Processes as necessary
- Establish stakeholder acceptance and adherence to the County APD Process
- Facilitate consensus agreement between the 58 Counties, CWS/CMS, and CDSS on the improved County APD Process to be used in the future.

## **1.5 Project Approach**

Based on the approach described in the CWS/CMS County APD Process Project Charter, the following activities were conducted:

- **Analyze and Document Current Process**

Analyze and document the current process for input to the process improvement goals meetings.

- **Determine Process Improvement Goals**

Establish a single set of goals for the County APD Process to include State/Federal approval of county purchases.

- o Conduct a series of analysis meetings with each stakeholder group to determine the required goals.

- o Conduct concurrence meeting with the stakeholder groups' representatives to determine the agreed combined process improvement goals and requirements.
- o Formally confirm concurrence of the Combined Process Improvement Goals by executing a Memorandum of Understanding (MOU) documenting the understanding and agreement of the stated goals as contained in the Stakeholders' Consensus Document (See Appendix F: Extract from the Stakeholder Consensus Document).
- **Refine and Reengineer County APD Process**
  - o Upon executive decision to allocate appropriate resources, continue with the refine/reengineer process and product documentation activities.
  - o The refined/reengineered County APD Process document (which was renamed as the Assessment of the CWS/CMS Project Office County APD Approval Process document) will contain the new process flows, descriptions, and will indicate where the existing process has been changed, and describe the benefits of the process changes.

Figure 1-1 on the next page provides a visual depiction of the Project Approach described above, using the following color key:

Key:	Analysis Section Name
	Project Activities Performed
	Results/Output
	Participants

- Black – represents the name of each section of the analysis document
- Green – represents the activities performed for each task
- Yellow – represents the results/outputs from each task
- Dark Blue – participants for each task other than those performing this assessment



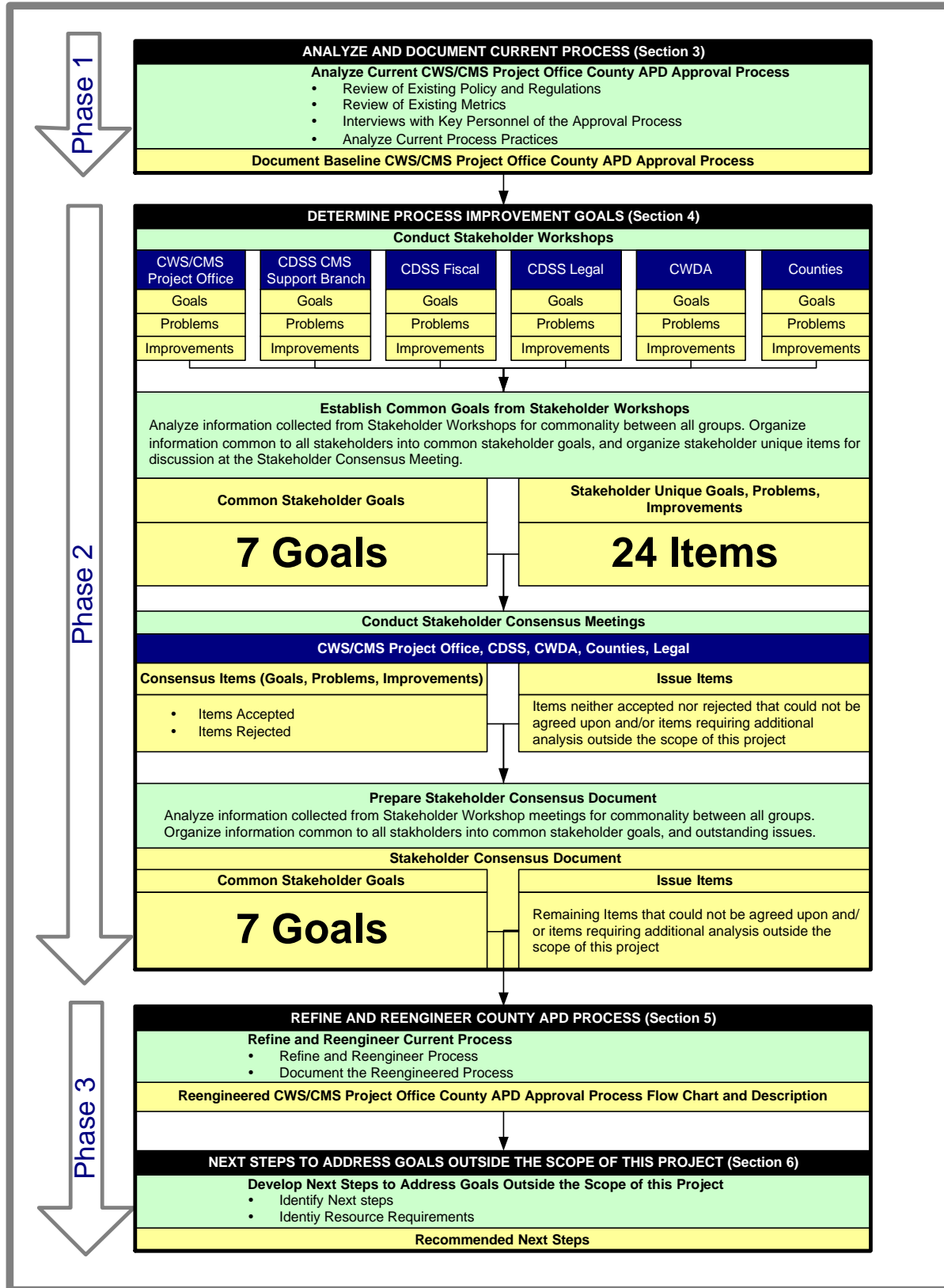


Figure 1-1 –Overview of the Project Approach

## 2 Executive Summary

As shown in Figure 2-1, assessment of the CWS/CMS Project Office County APD Approval Process consisted of analysis and documentation of the current baseline process, identification of stakeholder goals using stakeholder workshops and stakeholder consensus meetings, current baseline process reengineering based on the analysis and goals identified, and documentation of next steps required to address goals outside the scope of this project.

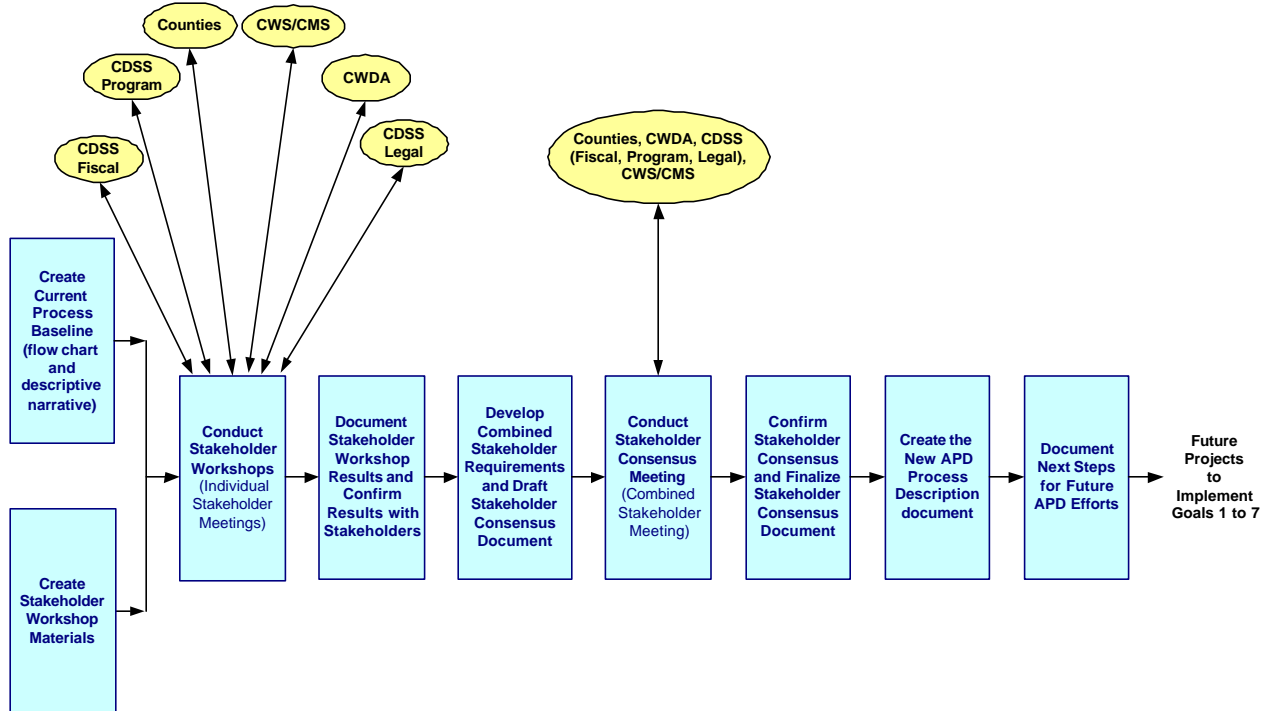


Figure 2-1 – Summary of Analysis Steps

### 2.1 Analysis And Documentation Of The Current Baseline Process

Section 3.1 documents results of efforts described in Section 3, to include, review of existing policies and regulations, review of existing metrics, interviews with key personnel, and analysis of current process practices. The following summarizes problem areas that were identified from this effort:

Table 1 – Summary of Analysis Results Problem Areas

Problem Area	Description of Problem Area
Communications	Communications are mainly informal and do not adhere to documented processes. This results in miscommunication, re-work, and delays in APD approvals.
Process Automation	APD processes are not automated. Business rules for State and federal policies and regulations are complex and dynamic (such as the guidelines surrounding creation of the Cost Allocation Plan), requiring that counties understand these documents and be aware of updates or changes. Once business rules and documents requirements are defined, automation could simplify this process and allow all parties (preparers, reviewers, and approvers) to utilize the same rules to develop and review APDs.

Redundancy	Redundant processes and communications were found to result in the development and/or distribution of duplicate information.
Roles and Responsibilities	Roles and Responsibilities are not established through formal policies and procedures, resulting in duplication of efforts, inconsistent review results, and informal interaction between stakeholders.
Standardization	Policies and regulations governing the CWS/CMS Project Office County APD Approval Process are extremely complex and counties do not have standard procedures for producing APDs that meet State and federal requirements. This results in numerous re-work of APDs, confusion, frustration, and a general sense that the process is broken or ad-hoc.
Timeliness	The volume and complexity of policies and regulations require a level of sophistication to understand and follow. Lack of understanding or unfamiliarity often results in time consuming rework and delays.
Tools	Use of automated tools such as MTS, iManage, Email, etc. is not available to all parties involved in the APD review and approval process.

**Note:** Items out of scope for this assessment (e.g., automation of the APD process, creation of standards and guidelines, etc.) will be addressed in Section 6 for future efforts

## ***2.2 Identification Of Stakeholder Process Improvement Goals***

Through a series of stakeholder meetings, there was unilateral agreement that a lack of well-documented guidelines for the counties to use when developing County APDs prevented quality County APDs from being submitted for State and/or ACF approval. There is a similar lack of clear, concise guidelines available to complete the review and approval process by the State reviewers. The State review guidelines should include the preparation of the “As-Needed” APDU should a County APD require ACF approval. The current cumbersome and inconsistent State review process is a direct result of the lack of clear, concise guidelines.

In addition to guidelines, stakeholders stated that sample documents and templates are needed by County staff to simplify and standardize the routine County APDs. These templates would include software services widely used by counties such as Structured Decision Making (SDM) and SafeMeasures® as well as replacement of out-of-warranty equipment and acquisition of equipment for increases in staff, the latter two generally categorized as maintenance and operations activities.

Stakeholders also concluded the County APD Process should be integrated with the other County Funding Process activities. Each of the related activities (CAPE, County APD Process, MAC, Completion Report, and County Expense Claim System) should adhere to a common set of data fields, terminology, etc. and where possible, the automation of processes should be integrated to create a common look and feel for all funding activities.

Sections 4.2 and 4.5 document results of efforts described in Section 4. In Section 4.2, the results of the Stakeholder Workshops with the 6 stakeholder groups identified 18 goals, 11 problems, and 4 recommendations. These were consolidated in the following 6 goals plus 1 additional goal resulting from the Stakeholder Consensus meetings specified in Section 4.5.

- Goal (1) Create Comprehensive And Easy To Understand APD Guidelines For Counties
- Goal (2) Identify The Legal Requirements For County APDs
- Goal (3) Document The Roles And Responsibilities For The County APD Process
- Goal (4) Provide Comprehensive Training To The State And Counties
- Goal (5) Update The Process To Include Improvements and Resolve Identified Problems
- Goal (6) Resolve Issues With The Current Process Support Tools

Goal (7) Automate The APD Process

### **2.3 Current Baseline Process Reengineering**

Based on analysis of the baseline CWS/CMS Project Office County APD Approval Process from Section 3 and improvement goals from Section 4, deficiencies in the baseline CWS/CMS Project Office APD Approval Process were identified, as defined in Table 14. Results of the reengineered process can be found in Figure 5-1 through Figure 5-6

Section 5.1 and 5.2 document results of efforts described in Section 5. In Section 5.1 APD process problems within the scope of the current analysis effort were identified and incorporated in a reengineered process. In Section 5.2, the reengineered process is documented and problems and goals that could not be solved within the scope of this current analysis effort were identified and are addressed in Section 2.4 and Section 6.

### **2.4 Recommended Next Steps**

Stakeholder Goals go beyond the scope of the project charter (e.g. process automation, creation of County APD development/evaluation guidelines and documentation, etc.), and will require approval of additional project resources as new projects. Many of these goals require management decisions regarding roles and responsibilities, and creation and documentation of associated State guidelines and standards for County development and State review of APDs.

The recommended next steps seek to address stakeholder goals in a sequence that provides the greatest benefit to stakeholders within the shortest period of time. Therefore, goals #1, 2, and 3 are recommended for immediate development of projects to implement them. These projects will require significant dedicated resource commitments from the groups that participated in this assessment effort (CWS/CMS Project Office, CDSS Case Management System (CMS) Support Branch, CDSS Fiscal, CDSS Legal Counsel, CWDA, counties) and will require a different governance structure than has existed to date due to the different organizations required to complete these projects.

Past project efforts have largely focused on addressing process problems within specific organization domains (e.g. CDSS Fiscal, CDSS CMS Support Branch, CWS/CMS Project Office). This has resulted in “silo” type processes and solutions that do not span the various organizations involved in the County APD process. Additionally, processes required in one organization must often be developed by another organization. Without a cross-organizational project team and adequate executive sponsorship, the projects associated with the identified next steps cannot fully succeed.

Prior to developing charters, forming project teams, and beginning projects to implement the goals recommended in this analysis, an overall strategy and plan for coordinating other county funding projects should be developed. Such strategy and planning will ensure resources are available between the competing projects (e.g., CAPE, MAC, Completion Reports, CEC) and will also ensure that all projects are aligned with a common goal and consistent outcomes.

### 3 Analyze and Document Current Process

As shown in Figure 3-1, the following activities were performed during the Analyze and Document Current Process task:

- Analyze Current CWS/CMS Project Office County APD Approval Process

ANALYZE AND DOCUMENT CURRENT PROCESS (Section 3)	
	<b>Analyze Current CWS/CMS Project Office County APD Approval Process</b>
	• Review of Existing Policy and Regulations
	• Review of Existing Metrics
	• Interviews with Key Personnel of the Approval Process
	• Analyze Current Process Practices
	<b>Document Baseline CWS/CMS Project Office County APD Approval Process</b>

Figure 3-1 – Overview of the Analyze and Document Current Process

#### 3.1 Analyze Current CWS/CMS Project Office County APD Approval Process

The CWS/CMS Project Office County APD Approval Process consists of the activities performed by the CWS/CMS Project Office for gaining State and federal approval of county-submitted APDs. The CWS/CMS Project Office acts as the focal point for coordination of APD approvals between OSI, CDSS, and federal stakeholders, to include the following stakeholders: counties, CWDA, CWS/CMS Project Office, CDSS Fiscal, CDSS CMS Support Branch, CDSS Legal, and the ACF.

The results of this analysis were utilized to reengineer the documented baseline process described in Section 5 of this document.

##### 3.1.1 Review of Existing Policy and Regulations

Prior to analysis and documentation of the Current CWS/CMS Project Office County APD Approval Process, review of the extensive existing policies and regulations was conducted, which consisted of the following information sources:

- Federal Websites (ACF, HHS, etc.)
  - ACF Information Memoranda (IMs)
  - Federal Action Transmittals (ATs)
  - Federal Health and Human Services (HHS) State Systems APD Guide.
  - Federal Program Instructions (PIs)
  - Federal Regulations (45CFR74, 45CFR95, 45CFR1355)
- CDSS Web Sites
  - Manual of Policies and Procedures Division 28
  - All County Letters (ACLs)
  - County Fiscal Letters (CFLs)
  - All County Information Notices (ACIN)
- CWS/CMS Web Site
  - APD Guidelines
  - CAPE instructions
  - MAC instructions

Review of existing policies and regulations revealed that the approval process is very complex, very dynamic, and poorly documented, with few formal written procedures provided. As a result, understanding and adherence to the policies and regulations can be difficult, requiring a high level of sophistication that might not be available to county APD preparers or State APD reviewers.

**Table 2 – Review of Existing Policy and Regulations Analysis Results**

Problem Area	Description of Problem Area
Communications	Communications are mainly informal and do not adhere to documented processes. This results in miscommunication, re-work, and delays in APD approvals.
Process Automation	APD processes are not automated. Business rules for State and federal policies and regulations are complex and dynamic (such as the guidelines surrounding creation of the Cost Allocation Plan), requiring that counties understand these documents and be aware of updates or changes. Once business rules and documents requirements are defined, automation could simplify this process and allow all parties (preparers, reviewers, and approvers) to utilize the same rules to develop and review APDs.
Roles and Responsibilities	Roles and Responsibilities are not established through formal policies and procedures, resulting in duplication of efforts, inconsistent review results, and informal interaction between stakeholders.
Standardization	Policies and regulations governing the CWS/CMS Project Office County APD Approval Process are extremely complex and counties do not have standard procedures for producing APDs that meet State and federal requirements. This results in numerous re-work of APDs, confusion, frustration, and a general sense that the process is broken or ad-hoc.
Timeliness	The volume and complexity of policies and regulations require a level of sophistication to understand and follow. Lack of understanding or unfamiliarity often results in time consuming rework and delays.

**Note:** Items out of scope for this assessment (e.g., automation of the APD process, creation of standards and guidelines, etc.) will be addressed in Section 6 for future efforts

### 3.1.2 Review of Existing Metrics

Metrics from previous and current county APDs were reviewed to correlate APD submissions with approvals. As shown in Figure 3-2, beginning in September 2005, more rigorous State analysis of County APDs resulted in a decrease in the number of APDs approved, as evidenced by the divergence of the lines showing APD submissions versus approvals for the September 2005 through April 2006 time period. The State's increase in analysis rigor was in response to problems identified during the U.S. Department of Health and Human Services Office of the Inspector General's audit of CWS/CMS-related county expenditures.

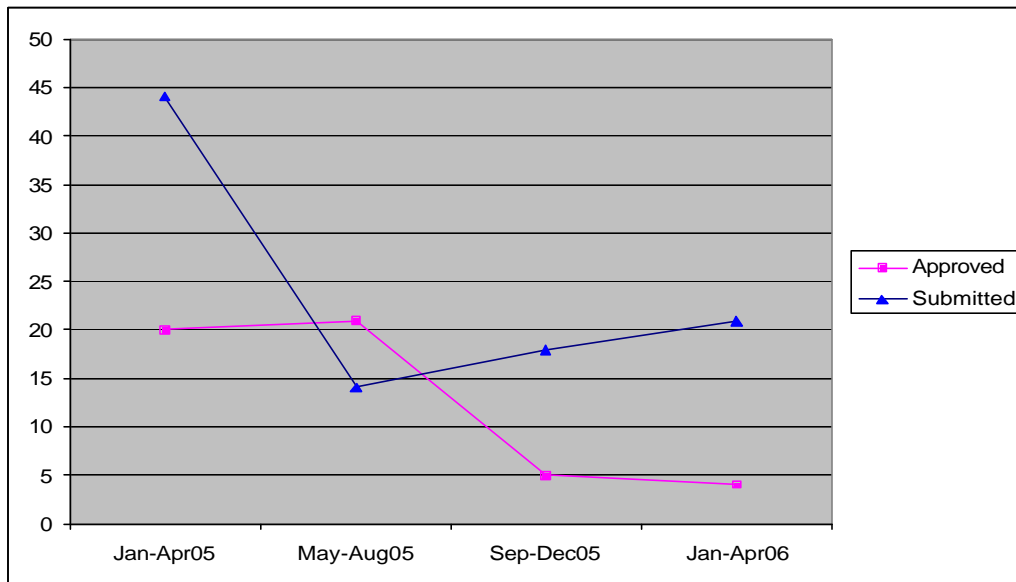
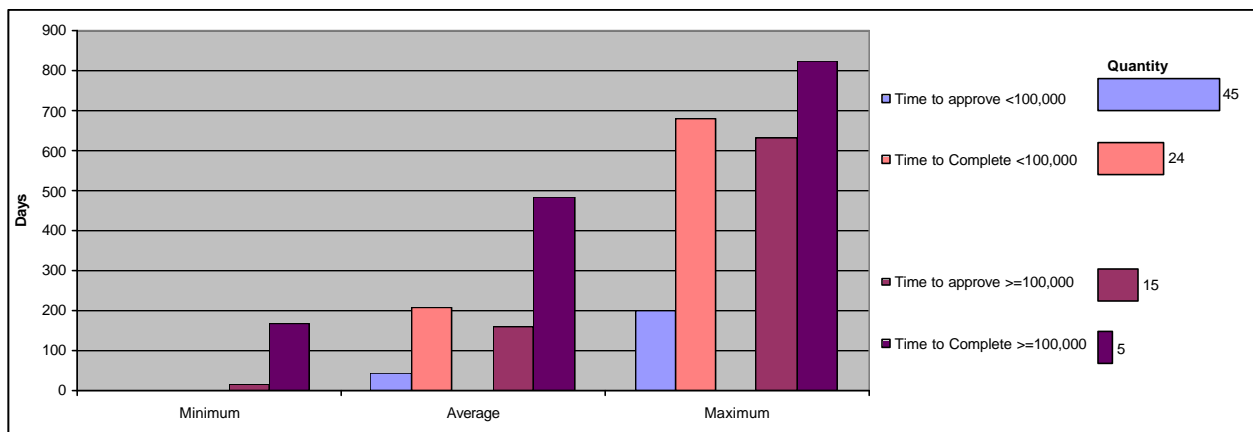


Figure 3-2 – Approved vs. Submitted County APDs

As shown in Figure 3-3, only 5 APDs were completed between October 2004 and May 2006 with a dollar value greater than \$100,000. These APDs took an average of approximately 500 calendar days from time of initial submission to State receipt of the completion report. Of this same group, approval times averaged 150 calendar days.

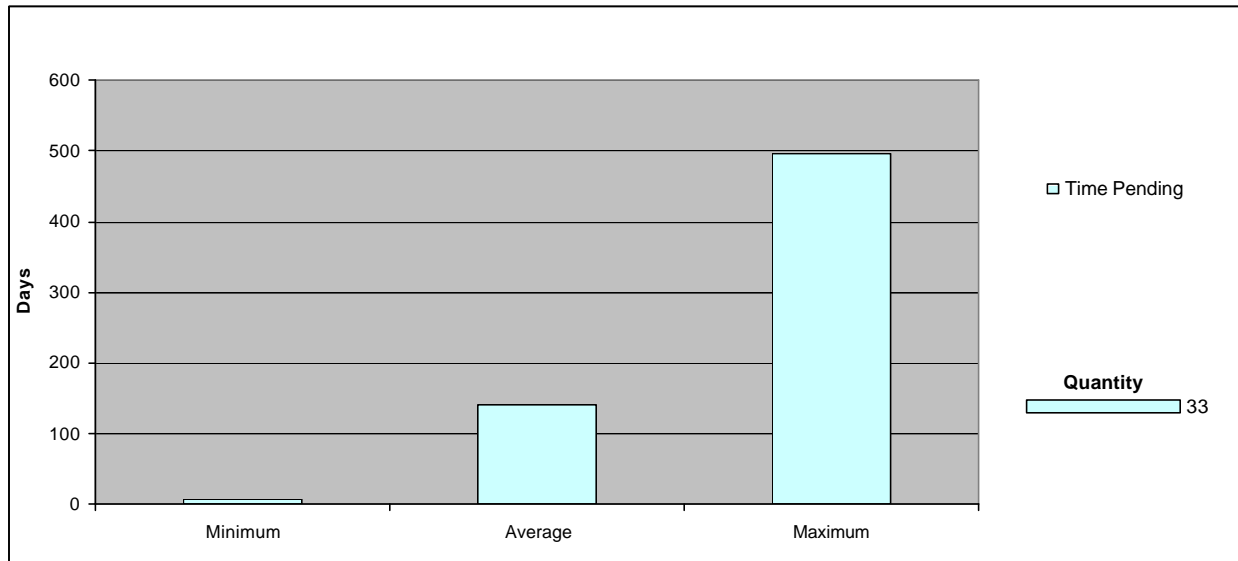
- For those APDs with a dollar value less than \$100,000, completion times averaged approximately 209 calendar days for the 45 APDs completed, and approximately 45 calendar days for State approval.
- The State's primary focus is to address factors that can be controlled by the State APD Review Team such as the excessive approval times (such as the 600 calendar-day approval time for one county APD).
- Approval time represents the amount of time from County submission of an APD through approval of that APD by the State APD review teams and/or ACF. This time is inclusive of revision to APDs by the counties when the APD review teams identify errors or deficiencies.
- Because completion times include the amount of time required for counties to execute all project activities within the APD, the State cannot control completion time durations.



**Figure 3-3 – Overview of APD Approval and Completion Times from October 2004 to May 2006**

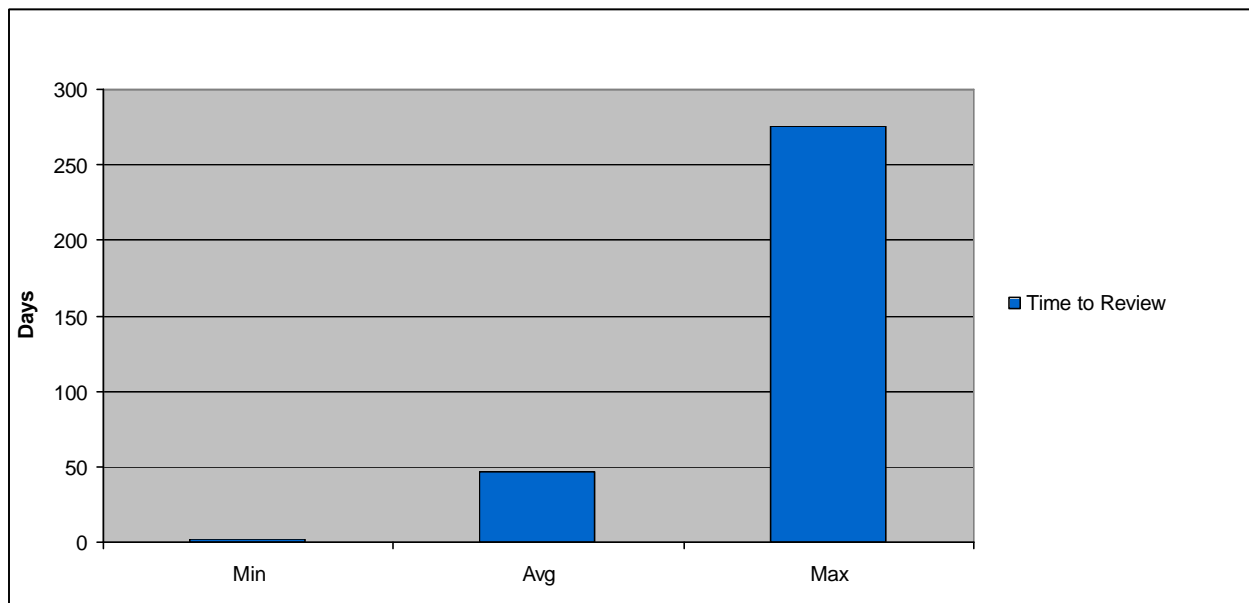


As shown in Figure 3-4, there are currently 33 county APDs pending State and/or Federal approval. Of this number, the average time pending approval or rejection is approximately 140 calendar days (20 weeks).



**Figure 3-4 – Overview of Time Pending for APDs as of May 15, 2006**

As shown in Figure 3-5, the amount of time the State APD Review Team spent on review of a County APD averaged approximately 50 calendar days (7 weeks), with a maximum time of around 275 calendar days (39 weeks).



**Figure 3-5 – State APD Review Times from December 2004 to September 2005**

Metrics were extracted from the CWS/CMS Project Office County APD Library, iManage, and MTS II to retrieve statistics on the number of days pending and rework cycles.

**Table 3 – Pending APDs - Days Pending and Number of Revisions**

<b>MTS #</b>	<b>Days Pending</b>	<b>Num Revisions</b>
1936	497	5
2658	393	10
2873	368	6
3419	281	7
3535	253	7
5020	236	4
5021	236	3
5023	236	6
5046	236	4
5200	235	6
5325	195	3
5420	176	2
5769	137	1
5770	137	3
5872	118	3
5961	105	4
5992	98	3
6059	91	2
6060	91	2
6113	46	3
6194	71	1
6299	60	1
6302	60	1
6303	57	1
6329	50	1
6380	46	1
6446	48	1
6447	48	3
6449	43	2
6502	22	1
6564	12	2
6571	8	1
6574	8	1

The analysis of key metrics confirmed the complexity surrounding the State APD approval process. These interviews also confirmed areas of concern regarding timeliness of approvals, as previously demonstrated in the metrics above.

These metrics revealed the following problem areas:

**Table 4 – Metrics Analysis Results**

Problem Area	Description of Problem Area
Timeliness	On many APDs, there are too many rework cycles required to get an APD approved
Timeliness	State review cycle takes too long
Timeliness	The overall amount of time between a county's original submittal of an APD and subsequent approval/rejection of that APD by the State requires too much time

**Note:** Items out of scope for this assessment (e.g., automation of the APD process, creation of standards and guidelines, etc.) will be addressed in Section 6 for future efforts

Specific findings of the above problem areas include:

- While the number of APDs submitted by the counties continues to grow, the number of APDs approved by the State continues to decrease, which indicates reviews are not keeping pace with submittals.
- APDs with excessive review and/or approval times, indicates a lack of an escalation process.
- County rework is required on most submitted APDs, which dramatically impacts the number of review cycles and timeliness of approval. The initial APD submitted to the State by the counties often contain format and/or content deficiencies. Only one County APD was submitted in the last year that did not require revision by the originating county.
- The review and approval process is time consuming and requires numerous county and State staff. Some APDs have been in the review and approval process for more than 16 months and are still being reworked. One APD has been through 10 revisions and is still not approved. Of the 34 APDs currently in the review and approval process, 16 have had more than 3 review cycles and the average time since submission is almost 5 months.

### 3.1.3 Interviews with Key Personnel of the Approval Process

Key personnel from the CWS/CMS Project Office and CDSS were consulted throughout the development of the current process flow chart and description documents to minimize errors and oversights in the draft version of these refined charts/descriptions prior to submission for formal stakeholder comments.

Interviews with key personnel confirmed the complexity surrounding the State and federal APD approval process. These interviews also confirmed areas of concern regarding timeliness of approvals, as previously demonstrated in the metrics above.

Lastly, these interviews revealed problem areas that adversely impact the CWS/CMS Project Office County APD Approval Process, as specified in Table 5.

**Table 5 – Interview Analysis Results**

Problem Area	Description of Problem Area
Communications	Communications processes are not well defined. As a result, messages and instructions are often misunderstood or are unclear.

Problem Area	Description of Problem Area
Process Automation	APD processes are not automated. Business rules for State and federal policies and regulations are complex and dynamic (such as the guidelines surrounding creation of the Cost Allocation Plan), requiring that counties understand these documents and be aware of updates or changes. Once business rules and documents requirements are defined, automation could simplify this process and allow all parties (preparers, reviewers, and approvers) to utilize the same rules to develop and review APDs.
Redundancy	Redundant processes and communications were found to result in the development and/or distribution of duplicate information.
Roles and Responsibilities	Roles and Responsibilities are not well defined and/or are not clearly communicated.
Standardization	Many of the process steps are accomplished without established standards for format and content.
Tools	Use of automated tools such as MTS, iManage, Email, etc. is not available to all parties involved in the APD review and approval process.

**Note:** Items out of scope for this assessment (e.g., automation of the APD process, creation of standards and guidelines, etc.) will be addressed in Section 6 for future efforts

Specific findings of the above problem areas include:

- Specific County APD approval criteria are not defined.
- Review and Approval criteria for the State Review and Approval Team are incomplete.
  - o The review criteria and guidelines for the State reviewers are not detailed enough to apply consistent rules when reviewing and APD for approval.
  - o The guidelines are not based on specific criteria that are developed from the guidelines and samples provided to the counties for developing APDs.
  - o There are no guidelines to establish the criteria to define a routine APD that should require review by only the Project Office APD Lead Analyst.
  - o There are no identified criteria to exit a review loop or to escalate to a higher management level to develop policy or provide a management decision regarding the problem causing the repetitive looping.
- There is a lack of defined lines of authority for members of the State APD Review Team such as the following:
  - o 3 of the 4 groups from the State APD Review Team (i.e. CWS/CMS Project Office, CDSS Fiscal, CDSS CMS Support Branch) always participate in review of routine County APDs.
  - o There are no guidelines for determining when special subject matter experts (SME) from outside the State APD Review Team are required (e.g. for procurements, replacement of equipment, etc.).
- The management tools for document management, task management, and electronic mail (MTS II, iManage, and email respectively) used during the County APD review and approval need updated functionality to become satisfactory.
  - o Not all users have access to the automated tools used by the CWS/CMS Project Office in the County APD approval process.
  - o The MTS II application and database does not support required County APD management information.

- ✓ SACWIS or Non-SACWIS status.
- ✓ Cost information.
- ✓ Approval Date.
- ✓ Completion Report Date.
- ✓ Others not specified.
- o Email does not support the transmission of extremely large APD documents, which can sometimes require upwards of 10MB of data.
- The current APD guidelines on the CWS/CMS Website (Reference [10]) do not contain enough detail for the required sections of the APD, nor are samples provided to the counties that have enough information to submit approvable APDs.
  - o The review criteria and desk procedures do not have enough detail to apply consistent standards for review.
  - o Criteria used to identify the specific County APDs that need to be submitted to ACF are dynamic based on the last interpretation of the most recent ACF correspondence.
  - o Description of the business need statement does not have enough detail.
  - o Description of the Benefiting programs does not have enough detail.
  - o There is no method or process explained for developing an acceptable cost allocation section of the County APD.
  - o There is no formal written process for developing an acceptable cost category table.
  - o There is no formal written process for developing an acceptable cost benefit analysis.
  - o Description of the method of procurement does not have enough detail.
  - o The samples are not comprehensive enough for any of the above areas of the APD.
  - o The APD review criteria and the APD development guidelines and samples are not linked to each other such that when the APD development guidelines are followed the APD will be approved.
  - o There is insufficient guidance for basic decision-making. Examples:
    - ✓ What are the specific criteria that require an APD to be sent to ACF for approval?
    - ✓ What are the specific criteria to distinguish an APD to be submitted to CWS/CMS rather than ISAWS?
    - ✓ Are the \$100,000, \$1,000,000, and \$5,000,000 limits based on individual APD or Total State variance from the State APDU?
    - ✓ What is the definition of variance for the purposes of deciding whether a limit has been passed or not?
  - o Each member of the State APD Review Team should have specific areas of the APD to evaluate, with the scope of those specific areas well defined.

### **3.1.4 Analyze Current Process Practices**

The CWS/CMS Project Office analyzed the current CWS/CMS Project Office County APD Approval Process to determine problem areas. This review consisted of review of the baseline flowcharts and narrative description.

Analysis of current process practice areas revealed problem areas that adversely impact the CWS/CMS Project Office County APD Approval Process, as specified in Table 6.

**Table 6 – Current Process Practices Analysis Results**

Problem Area	Description of Problem Area
Communications	Communications processes are not well defined. As a result, messages and instructions are often misunderstood or are unclear.
Process Automation	APD processes are not automated. Business rules for State and federal policies and regulations are complex and dynamic (such as the guidelines surrounding creation of the Cost Allocation Plan), requiring that counties understand these documents and be aware of updates or changes. Once business rules and documents requirements are defined, automation could simplify this process and allow all parties (preparers, reviewers, and approvers) to utilize the same rules to develop and review APDs.
Redundancy	Redundant processes and communications were found to result in the development and/or distribution of duplicate information.
Roles and Responsibilities	Roles and Responsibilities are not well defined and/or are clearly communicated.
Standardization	Many of the process steps are accomplished without established standards for format and content.
Tools	Use of automated tools such as MTS, IManage, Email, etc. is not available to all parties involved in the APD review and approval process.

**Note:** Items out of scope for this assessment (e.g., automation of the APD process, creation of standards and guidelines, etc.) will be addressed in Section 6 for future efforts

The following list contains the identified factors that need to be improved in order to more effectively manage the County APD review and approval process.

- There is a lack of defined lines of authority for the members of the State APD Review Team causing the following:
  - o Unnecessary joint review meetings for routine County APDs.
- The Roles and Responsibilities of the State Review and Approval Team are not well delineated.
  - o There is no defined process to handle routine APDs separately from more complex or unique APDs.
- The management tools used for APD review, approval, and tracking must meet the needs of all Stakeholders.
  - o Desired metric information cannot be extracted easily from MTS II. Examples:
    - ✓ Dollar amount of the APD
    - ✓ SACWIS/Non-SACWIS status
    - ✓ Date of submission
    - ✓ Date of Approval
    - ✓ Others not mentioned
- There is a lack of continuity and linkage to other county funding related activities, such as:
  - o County Expense Claim (CEC) system
  - o County Annual Planning Estimates system (CAPE)
  - o Move, Add, and Change process (MAC)
  - o State Annual ADPU
- As shown in Figure 3-6, the County APD Review and Approval Process has 3 processing loops but no defined entry, exit, or escalation criteria for any of these loops to ensure timely completion. The first 2 processing loops are between the State APD Review Team and the

counties while the third loop is between the State and ACF. The following describes the purpose of each loop:

- o 1st processing loop –State’s informal APD pre-review process, which is focused on the format of the county APD, ensuring that county submitted APDs contain each of the 7 required APD sections.
- o 2nd processing loop – State’s formal APD review process, which is focused on APD content, ensuring the content found in each of the 7 APD sections has been prepared in accordance with State and federal guidelines.
- o 3rd processing loop – ACF formal approval of all county submitted APDs over \$100K in value.

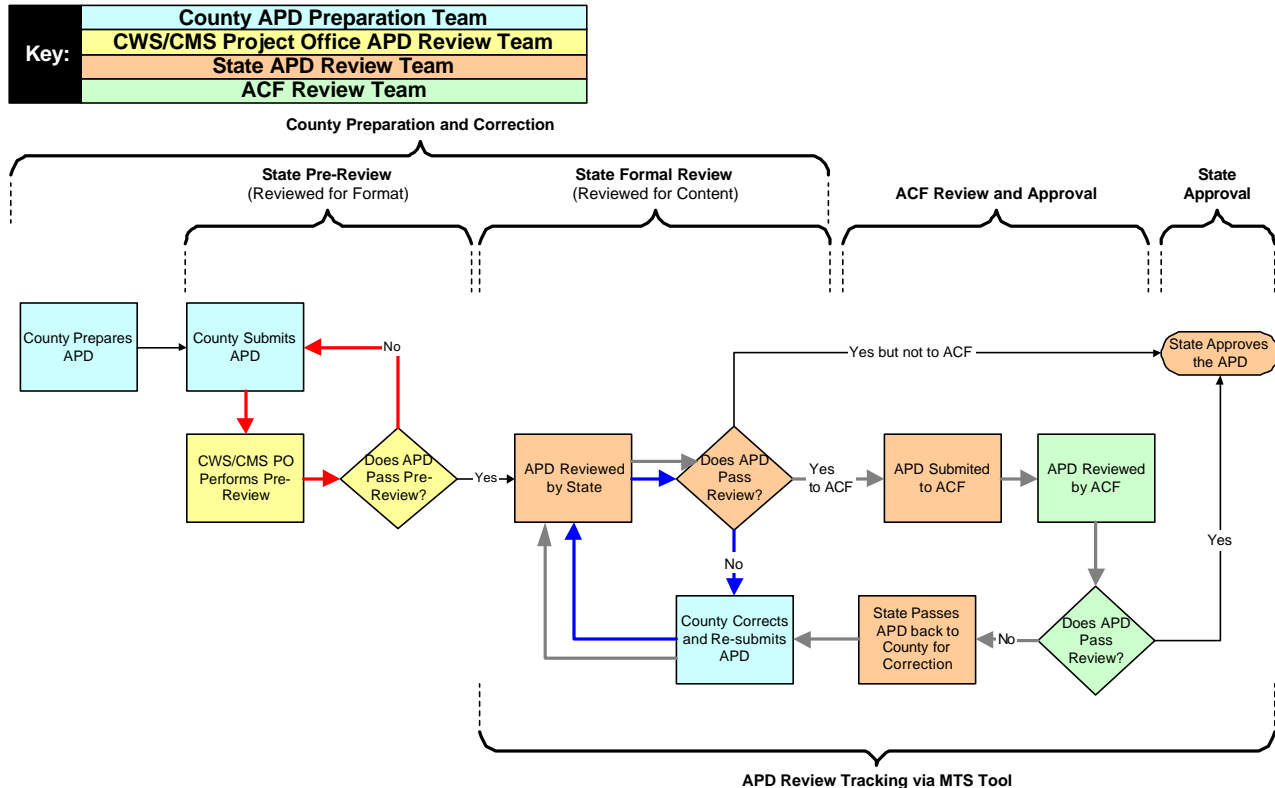


Figure 3-6 – Processing Loops Within the APD Review and Approval Process

### 3.2 Document Current CWS/CMS Project Office County APD Approval Process

The State and Federal governance documents, instructions to counties, and discussions with the CWS/CMS Project Office and CDSS CMS Support Branch were used to produce the Baseline Flow Chart and description documents shown in Appendix A: Baseline County APD Review and Approval Process Flow Chart and Appendix B: Baseline County APD Review and Approval Process Flow Description respectively before presenting for review. The Baseline Flow Chart and Description documents were then updated based on the feedback received.

The Federal Regulations, their supporting documentation, the States Systems APD Guide, Division 28, CFLs, and ACLs were used to validate the instructions to Counties when discrepancies were found between the CWS/CMS County APD guideline instructions and other related information.

The Web Site information was analyzed for completeness, ease of use, ability to find pertinent information and clarity of instruction.

The current County APD review staff (CDSS CMS Support Branch, CDSS Fiscal Office, and the CWS/CMS Project Office County APD Coordinator) was contacted to establish a baseline for current process requirements and flow charts.



## 4 Determine Process Improvement Goals

As shown in Figure 4-1, the following activities were performed during the Determine Process Improvement Goals task:

- Conduct Stakeholder Workshops
- Establish Common Goals from Stakeholder Workshops
- Conduct Stakeholder Consensus Meetings
- Prepare Stakeholder Consensus Document

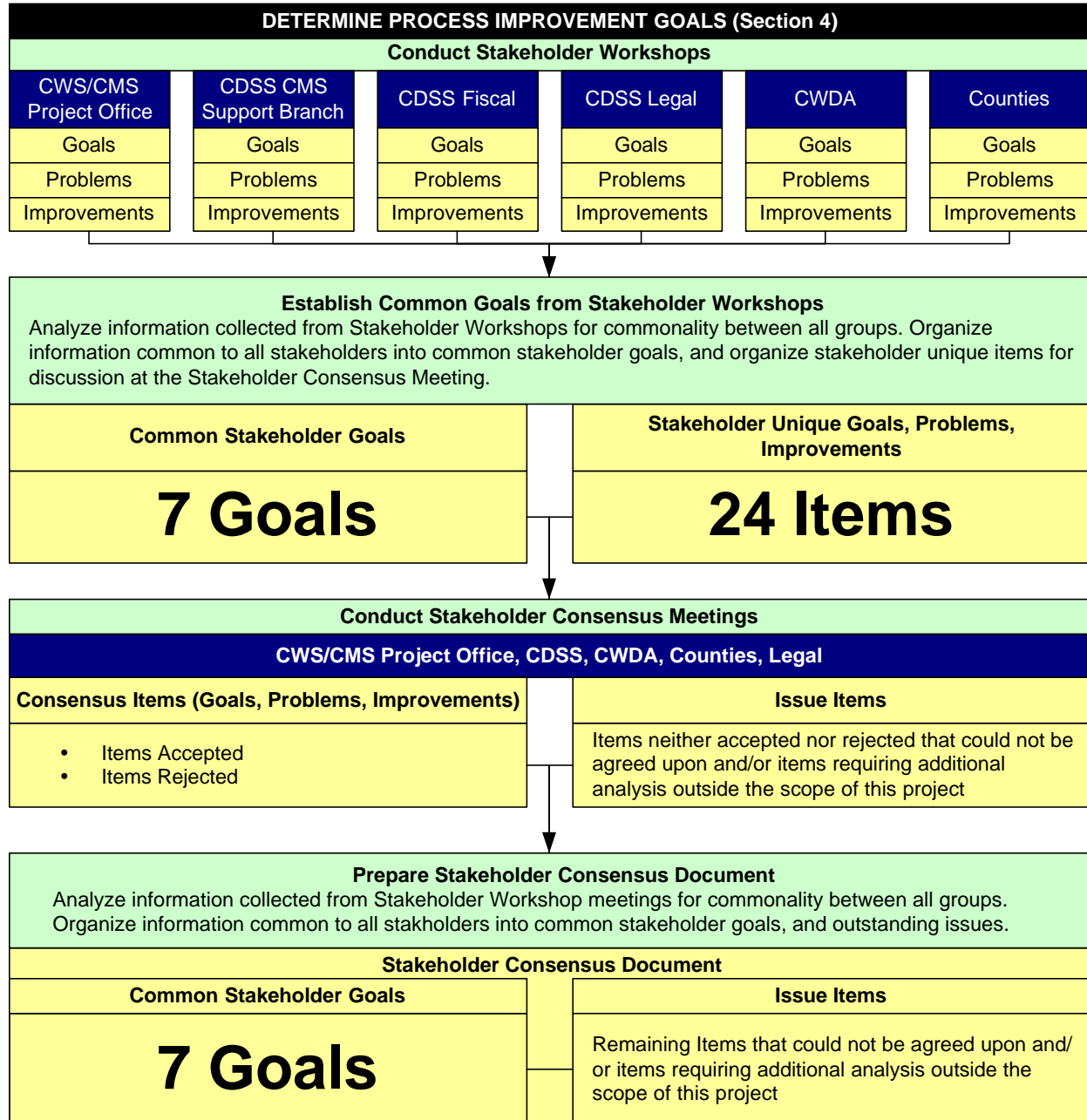


Figure 4-1 – Overview of Determine Process Improvement Goals

## **4.1 Conduct Stakeholder Workshops**

Stakeholders within the County APD development, review, and approval process were identified and meetings conducted to gather goals, problems, recommendations based on only the perspective of individual stakeholder group.

### **4.1.1 Identify Stakeholders**

Six stakeholder groups consisting of State and county stakeholders involved in the County APD process were identified and confirmed. These stakeholders are described below.

- CDSS CMS Support Branch
- CDSS Fiscal
- CDSS Legal Counsel
- County Representatives
- County Welfare Directors Association (CWDA)
- CWS/CMS Project Office

### **4.1.2 Prepare Stakeholder Workshop Materials**

Workshop Guides (see Appendix E: Workshop Guide) were created to gain an understanding of each Stakeholder group's vision for an improved County APD Process, and to understand the organization goals and process improvements needed to support that vision. These guides provided a common format and topic list to ensure the Workshops would remain on topic and provide quality input.

In addition, both Appendix A: Baseline County APD Review and Approval Process Flow Chart and Appendix B: Baseline County APD Review and Approval Process Flow Description were provided at each meeting for reference and discussion.

### **4.1.3 Conduct Stakeholder Workshops**

A total of 9 Stakeholder workshops were held to identify the goals, problems, and recommendations from each of the stakeholder groups. Two workshops were conducted for the CWS/CMS Project Office Staff, CDSS CMS Support Branch, CDSS Fiscal, and CDSS Legal. In addition, CWDA and County workshops were combined. The primary purpose of these workshops was to collect the following information from each of the Stakeholder Groups independently.

- Identify key business process goals.
- Identify specific business process problems.
- Identify specific business process improvement recommendations.

Furthermore, the final meeting with each of the Stakeholder groups that participated in the County APD Review and Approval Process Flow was reserved to discuss improvements that could be made to this process.

## **4.2 Document Stakeholder Workshop Results**

Following is a summary of the identified goals, problems and recommended improvements taken from each Stakeholder Group meeting.

#### 4.2.1 CDSS CMS Support Branch Goals

Table 7 below provides the goals captured from CDSS CMS Support Branch during the Stakeholder Workshop meeting.

**Table 7 – CDSS CMS Support Branch Goals from Stakeholder Workshop**

Goal #	Description of CDSS CMS Support Branch Goal
CDSS Program Goal 1	<p>Create comprehensive and easy to understand APD guidelines for the counties</p> <ul style="list-style-type: none"><li>• Fully document how APD review process is conducted<ul style="list-style-type: none"><li>○ APD Guide document<ul style="list-style-type: none"><li>▪ Define how to do the cost allocation of funds</li><li>▪ Widely available (e.g. Web, CBT)</li></ul></li></ul></li><li>• Create work guides<ul style="list-style-type: none"><li>○ Federal and State requirements</li><li>○ Widely available</li></ul></li><li>• Clarify the ACF Checklist<ul style="list-style-type: none"><li>○ Provide background documentation for each checklist item</li></ul></li><li>• Create a description of the reengineered County APD Process<ul style="list-style-type: none"><li>○ Standard timelines</li></ul></li><li>• Describe how Counties should explain the details of their procurements<ul style="list-style-type: none"><li>○ Examples of RFQs, RFPs, and contracts</li><li>○ Publish timelines and cutoff dates</li></ul></li></ul>
CDSS Program Goal 2	<p>Document roles and responsibilities for APD process</p> <ul style="list-style-type: none"><li>• State staff assignments and responsibilities<ul style="list-style-type: none"><li>○ Procurement, Fiscal, Business, etc</li></ul></li><li>• Timelines</li><li>• State staff sign offs required</li><li>• County staff sign offs required<ul style="list-style-type: none"><li>○ Incorporated a sign off page in the APD document</li></ul></li><li>• Sign offs would include<ul style="list-style-type: none"><li>○ Management representatives for Business</li><li>○ Fiscal</li><li>○ Procurement</li><li>○ IT areas</li></ul></li></ul>
CDSS Program Goal 3	<p>Process should be driven by need for quality APDs being created by the counties, and comprehensive quality reviews being conducted by the State</p> <ul style="list-style-type: none"><li>• APDs approved at State and Federal levels</li></ul>

## 4.2.2 CDSS Fiscal Goals

Table 8 below provides the goals captured from CDSS Fiscal during the Stakeholder Workshop meeting.

**Table 8 – CDSS Fiscal Goals from Stakeholder Workshop**

Goal #	Description of CDSS Fiscal Goal
CDSS Fiscal Goal 1	<p>Create comprehensive and easy to understand APD guidelines for the counties</p> <ul style="list-style-type: none"> <li>• APD Guide document <ul style="list-style-type: none"> <li>○ Cost allocation of funds</li> </ul> </li> <li>• Work Guides <ul style="list-style-type: none"> <li>○ Federal and State requirements in plain English</li> </ul> </li> <li>• ACF Checklist <ul style="list-style-type: none"> <li>○ Provide background documentation for each checklist item</li> </ul> </li> <li>• Guidelines should be widely available <ul style="list-style-type: none"> <li>○ Web</li> <li>○ CBT</li> </ul> </li> </ul>
CDSS Fiscal Goal 2	<p>Document the roles and responsibilities for the APD process</p> <ul style="list-style-type: none"> <li>• State staff sign offs required</li> <li>• County staff sign offs required</li> <li>• Sign offs would include <ul style="list-style-type: none"> <li>○ Management (Business Requirements)</li> <li>○ Fiscal (Budget Requirements)</li> <li>○ Procurement (Procurement/Legal Requirements)</li> <li>○ Information Technology (IT) (Technical Requirements)</li> </ul> </li> </ul>
CDSS Fiscal Goal 3	<p>Improve State Communications with Training of Counties' staff</p> <ul style="list-style-type: none"> <li>• Improve quality of APDs and the timeliness of the State review process</li> <li>• Includes APD Guide as stated above</li> <li>• How to collaborate with State departments' staff</li> <li>• Widely available training materials</li> <li>• Widely available access to a FAQ page in a Q&amp;A guide format</li> </ul>
CDSS Fiscal Goal 4	<p>Fully train State staff supporting the process</p> <ul style="list-style-type: none"> <li>• Desk procedures and work aids</li> <li>• Cross-training of staff for back up during sick/vacation and staff turnover</li> <li>• Comprehensive training for new processes</li> </ul>
CDSS Fiscal Goal 5	<p>Improve the inter- and intra- organization communications</p>
CDSS Fiscal Goal 6	<p>The State should "own" the APDs</p> <ul style="list-style-type: none"> <li>• State ensures that the APDs are acceptable before submitting to ACF</li> <li>• More direct collaboration with Counties</li> </ul>

### 4.2.3 CDSS Legal Goals

Table 9 below provides the goals captured from CDSS Legal during the Stakeholder Workshop meeting.

**Table 9 – CDSS Legal Goals from Stakeholder Workshop**

Goal #	Description of CDSS Legal Goal
CDSS Legal Goal 1	Identify what the legal requirements are for county APDs
CDSS Legal Goal 2	Speed up the review process
CDSS Legal Goal 3	Legal should receive all APDs for review
CDSS Legal Goal 4	The APD requirements, and the APD review process should: <ul style="list-style-type: none"><li>• Fully document how the APD review process is conducted</li><li>• Identify Roles and Responsibilities</li><li>• Include a single point of contact for questions</li><li>• Include a sign off sheet (like the State FSR)</li><li>• Include formal timelines</li><li>• Include Service Level Agreements (SLA)</li></ul>
CDSS Legal Goal 5	All county projects should be submitted via APDs

### 4.2.4 County and CWDA Goals

Table 10 below provides the goals captured from the County and CWDA during the Stakeholder Workshop meeting.

**Table 10 – County and CWDA Goals from Stakeholder Workshop**

Goal #	Description of County and CWDA Goal
County Goal 1	Clear instructions on what and how to build information required by CWS for the State <ul style="list-style-type: none"><li>• CAPE is used for multi-year planning, and M&amp;O is not captured</li><li>• The CAPE is not aligned with the Counties budget process or timeline</li><li>• The State should not assume that the Counties have their APDs ready for submittal when the CAPE is submitted</li></ul>

County Goal 2	<p>State-supplied supporting documentation</p> <ul style="list-style-type: none"> <li>• APD document template; a Word document template of the standard APD format and content that Counties can download as their starting point</li> <li>• APD Guide to document how to build an APD, with reference to each section in the APD document template. Also, to indicate how to build each "type" of APD, e.g. simple (equipment replacement), complex (new project involving hardware and software procurement)</li> <li>• Easy to understand interpretations of State and Federal regulations that pertain to APDs and procurements</li> <li>• Updates to the Division 28 regulations</li> <li>• SACWIS project content needs to be clearly and formally defined</li> <li>• Document and explain the new CAP (it is currently not being approved when Counties are applying it) <ul style="list-style-type: none"> <li>○ Clear information on how to complete the standard matrix</li> <li>○ Clear claiming methodology description</li> </ul> </li> <li>• ACF approval of final definition of the APD template and guidelines</li> </ul>
County Goal 3	<p>The State should gather all Counties planning and associated procurement information and combine it into one APD for submission to the ACF</p> <ul style="list-style-type: none"> <li>• For State mandated projects, the State should send a questionnaire to the Counties for their project-related list, and the State should combine them all into one request/APD to the ACF.</li> </ul>
County Goal 4	<p>Speed up the APD review and approval/denial process</p> <ul style="list-style-type: none"> <li>• Having to wait several months may require that the Counties have to re-request estimates from vendors (at least 3 required) because the original estimates have expired, which causes problems with vendors and possible refusals to re-estimate</li> <li>• When the State requests clarification or additional information, it is not stated whether the request is from the State or ACF</li> <li>• Sometimes costs savings can be lost, e.g. if a discount is available for multi-user software licensing for a specific period, but the related APD is not approved in time</li> <li>• The current process cannot cope with emergency situations</li> <li>• Delay can negatively affect program delivery</li> </ul>
County Goal 5	<p>Allow specification of specific manufacturers and brands for equipment, so that the Counties can ensure that it will be compatible with existing infrastructure, and be able to accept the standard application imaging</p> <ul style="list-style-type: none"> <li>• The rules for equipment replacement information in the APDs (a planning document) are too restrictive, as they require the specific equipment IDs of existing equipment to be replaced. This may change at the actual time of replacement.</li> <li>• The MAC information requirements differ from the information required for the associated APD</li> </ul>
County Goal 6	<p>Allow Counties to use the State MSA contracts for equipment and software to reduce costs</p>
County Goal 7	<p>Allow more flexibility in defining APD components (e.g. warranties) so that the final decision and justification can be done later in a project</p>
County Goal 8	<p>State review and approve/deny APDs &lt;\$100k within 5 business days</p> <ul style="list-style-type: none"> <li>• Concurrent State review so that all feedback is received at the same time</li> <li>• Defined rules for review to avoid conflicting review comments for the same APD</li> </ul>

County Goal 9	<p>APD related training</p> <ul style="list-style-type: none"> <li>• Comprehensive State Staff (including CDSS) training in APD process and associated regulations and requirements</li> <li>• Access for County staff to regularly scheduled training on APD creation, State and Federal regulations, procurement requirements etc.</li> </ul>
County Goal 10	<p>Set the claim number for an APD/project when an APD has been approved, and allow claims against a project while it is in progress.</p> <ul style="list-style-type: none"> <li>• The current "conditional approval number" status cannot be used for claiming</li> <li>• Longer term projects can be significant capital outlay and span multiple FY's</li> </ul>
County Goal 11	<p>County APD Process Roles and Responsibilities</p> <ul style="list-style-type: none"> <li>• Defined and documented roles and responsibilities for State staff, especially the APD reviewers, including who has final decision authority</li> <li>• Defined and documented problem escalation process, including ACF and CWDA</li> </ul>
County Goal 12	<p>APD approval and denial letters specific to each APD, specifically stating the extent of approval and any conditions, or the specific reason for denial</p> <ul style="list-style-type: none"> <li>• An email should be sent for the approval/denial as well as the hardcopy letter</li> <li>• Post the denial reasons on Web site, including County and a description of project</li> <li>• County ability to escalate an APD denial to State executive management</li> </ul>
County Goal 13	<p>APD metrics</p> <ul style="list-style-type: none"> <li>• Short Term Goal <ul style="list-style-type: none"> <li>◦ Weekly report published indicating status of all APDs in process</li> </ul> </li> <li>• Long Term Goal <ul style="list-style-type: none"> <li>◦ Widely available automated access to APD status</li> <li>◦ Each County should be able to access a report on their own APDs</li> </ul> </li> </ul>
County Goal 14	<p>Regulation, rules, and requirements interpretation</p> <ul style="list-style-type: none"> <li>• Control over interpretation, or the adding and changing of regulations, rules, and requirements</li> </ul>
County Goal 15	<p>Improved communications between the State and the Counties</p> <ul style="list-style-type: none"> <li>• Provide the Counties with continuous feedback regarding the "ACF Issues of the Week (current issues)" to keep them aware of the current approval requirements</li> </ul>
County Goal 16	<p>Details of State program related projects, such as this County APD Process project, published on the Web site, together with current progress and status</p>
County Goal 17	<p>A process for approval of County M&amp;O related costs</p> <ul style="list-style-type: none"> <li>• Counties do not want to be subjected to another APD process for M&amp;O</li> <li>• County budget lines for M&amp;O expenses need to align to the State budget lines</li> <li>• An easy non-duplicative process for on-going maintenance</li> </ul>
County Goal 18	<p>State conduct a study to determine cost effectiveness of pursuing SACWIS funding</p>

## 4.2.5 CWS/CMS Project Office Goals

Table 11 below provides the goals captured from the CWS/CMS Project Office during the Stakeholder Workshop meeting.

**Table 11 – CWS/CMS Project Office Goals from Stakeholder Workshop**

Goal #	Description of CWS/CMS Project Office Goal
Project Office Goal 1	<p>Create comprehensive easy to understand APD guidelines for counties</p> <ul style="list-style-type: none"> <li>• APD Guide <ul style="list-style-type: none"> <li>○ How to do the cost allocation of funds</li> <li>○ Widely available (e.g. Web, CBT)</li> </ul> </li> <li>• Work guides <ul style="list-style-type: none"> <li>○ Federal and State requirements</li> <li>○ Widely available</li> </ul> </li> <li>• Examples of previously approved APDs</li> <li>• Standard APD template documents <ul style="list-style-type: none"> <li>○ Suitable for download</li> <li>○ Basic non-complex APDs</li> <li>○ Complex and/or high dollar APDs</li> </ul> </li> <li>• Information to assist counties in aligning their business schedules and processes with the State APD Process</li> </ul>
Project Office Goal 2	<p>Document roles and responsibilities for the APD process</p> <ul style="list-style-type: none"> <li>• State staff sign offs required</li> <li>• County staff sign offs required <ul style="list-style-type: none"> <li>○ Incorporated in a sign off page in the APD document</li> </ul> </li> <li>• Lists of SPOCs by subject area</li> <li>• Design the process organization to ensure more responsiveness to requests</li> </ul>
Project Office Goal 3	<p>Clarify and publish the APD review rules</p> <ul style="list-style-type: none"> <li>• Standardized steps and associated business rules</li> <li>• Clarify the reviewers' roles</li> <li>• Reduce number of reviewers</li> </ul>
Project Office Goal 4	<p>Leverage the existing automation of related processes to automate the APD Build and Submit process</p> <ul style="list-style-type: none"> <li>• Automated assistance to the Counties in building and submitting APDs</li> </ul>
Project Office Goal 5	<p>Provide automated access to status of APDs</p>
Project Office Goal 6	<p>Provide comprehensive training to Counties</p> <ul style="list-style-type: none"> <li>• APD build and submittal training</li> <li>• Federal and State regulations training</li> <li>• Procurement practices and contracts training</li> <li>• Regularly scheduled classes</li> <li>• Widely available class calendar</li> </ul>
Project Office Goal 7	<p>Align State process with County funding periods</p> <ul style="list-style-type: none"> <li>• For both the budget planning period (CAPE), and the "as needed" APDU</li> <li>• APDs would only be accepted during specific times (e.g. during the first week of a month), and conduct the APD review process the rest of the month</li> </ul>
Project Office Goal 8	<p>Match resource levels to new process, to ensure there are enough resources to successfully support the new business model</p>



### 4.3 Establish Common Goals from Stakeholder Workshops

Common stakeholder goals were documented after analysis of the information (goals, problems, and process improvement recommendations) collected from individual Stakeholder Workshops. Information was organized into seven (7) goals that were common to all stakeholders. Those items that were not common to all stakeholders were also organized for later discussion at the Stakeholder Consensus Meeting. Detailed descriptions of each common goal can be found in Section 2 of Appendix F: Extract from the Stakeholder Consensus Document.

Table 12 displays consolidated results from each of the Stakeholder Workshop groups. Note the numbered items for each stakeholder group are unique. For example, a Goal #1 for CDSS Legal might be different than a Goal #1 for CDSS Fiscal. However, each of the Goals was evaluated individually to item common themes and establish a list for consensus at the combined stakeholder consensus meeting.

It is apparent that the Counties and CWDA have more Goals and Problems than the other Stakeholder groups. This is to be expected since they are the final beneficiaries of the funding provided by the APDs. The CWS/CMS Project Office has the most “Process” oriented Goals and problems and this also is to be expected because they are responsible for managing the County APD review and approval process. Of note is the fact that all of the groups identified the development of guidelines, roles and responsibilities, and priority / speed-up as areas requiring goals.

Table Legend	Goal Numbers from Stakeholder Meetings	1, 2, 3
	Problem Numbers (Letters)	A, B, C
	Recommendations (Roman)	i, ii, iii
	Process Flow Review	PR
	Management Toolset Discussions	TL

**Table 12 – Stakeholder Comments Summary**

Goal #	Goal Topic	CDSS Legal	CDSS CMS Support	CWS/CMS Project Office	CDSS Fiscal	Counties & CWDA
1	Create comprehensive and easy to understand APD guidelines for Counties	1,4,5	1,2,3	1, 3, A, I	1, 2, 5, 6, D, E,	1, 2, 5, 6, 7, 11, 14, A, B, F, G, I, J, K
2	Identify the legal requirements for County APDs	1,3				5, 6, 14
3	Document the Roles and Responsibilities for the County APD Process		2, PR	6, F, H	4, 5. A	3, 9, 15, 16
4	Provide Comprehensive Training to the State and Counties	1		6	4	
5	Update The Process To Include Improvements and Resolve Identified Problems	2,3	1, PR	2, 3, C, D, E, G, i, ii, iii, iv	2, 3, 5,6, B, C, E	3, 4, 8, 9, 10, 12, 13, 14, 15, 16, 17, C, D, E, H
6	Resolve Issues with the Current Process Support Tools	TL	TL	B, TL	TL	
7	Process Automation - Automate APD Process			4, 5		13, 16

**Note:** County goals 5,6, 10, and 17 were not resolved by consensus

**Note:** County goal 18 was out of scope. It was not a goal, but rather the request for a study.

**Note:** Although all stakeholders did not discuss goal numbers 2 and 4, they were agreed to in the consensus meeting.

**Note:** Goal number 6 does not apply to the Counties & CWDA.

#### 4.3.1 Common Stakeholder Goals

Based on analysis of stakeholder workshop results (goals, problems, and process improvement recommendations) the seven (7) common goals provided below were established.

- Goal (1) Create Comprehensive And Easy To Understand APD Guidelines For Counties
- Goal (2) Identify The Legal Requirements For County APDs
- Goal (3) Document The Roles And Responsibilities For The County APD Process
- Goal (4) Provide Comprehensive Training To The State And Counties
- Goal (5) Update The Process To Include Improvements And Resolve Identified Problems
- Goal (6) Resolve Issues With The Current Process Support Tools
- Goal (7) Automate The APD Process

#### 4.3.2 Unique Items from Stakeholder Workshops

The CWS/CMS County APD Process Project Team identified twenty-four (24) goals, problems, and process improvement recommendations that were not identified as common to all stakeholder groups (found in Section 3 of Appendix F: Extract from the Stakeholder Consensus Document). These items were provided as inputs to the Stakeholder Consensus Meeting for final disposition.

The CWS/CMS County APD Process Project Team combined all of the goals, problems, and process improvement recommendations from each of the stakeholder meetings, found the items that were not consistent between the groups, needed further discussion, or were in conflict. The notes from the workshops were also analyzed to identify areas of differences, inconsistencies, and areas where more information was necessary to resolve potential differences. Table 13 – Stakeholder Items for Consensus identifies the 24 unique items where stakeholder consensus was required.

**Table 13 – Stakeholder Items for Consensus**

Topic	Count
<b>Process</b>	
Roles and Responsibilities	1
Priority /speed up process	4
Communications	1
State ownership of "As-Needed"	2
APD Management Tools (iManage and MTS)	1
<b>Instructions and Guidance</b>	
Guidelines	5
Samples and Templates	1
Training	1
Acquisition	1
Relationship of APD to Claim	6
SACWIS / Non-SACWIS related	1
<b>Total</b>	<b>24</b>

#### **4.4 Conduct Stakeholder Consensus Meeting**

Following conclusion of the Stakeholder Workshops, consisting of workshops with each individual stakeholder group, all stakeholder groups were brought together to validate and confirm the common goals previously identified in Section 4.3.1, and to reach consensus on the 24 unique items discussed in Section 4.3.2 above.

The CWS/CMS County APD Process Project Team prepared the draft Stakeholder Consensus Document, including:

- Section 2 – Stakeholder Agreement Areas (common goals)
- Section 3 – Items for Consensus Discussion and Agreement (24 unique items)

Each of the 24 unique items from Section 3 was discussed with the Stakeholder Consensus Group and a resolution was documented for each item during the meeting. The final version of the Stakeholder Consensus Document (Appendix F: Extract from the Stakeholder Consensus Document) was updated to include the discussion and final resolution provided during this meeting.

#### **4.5 Document Stakeholder Consensus Meeting Results**

Stakeholders validated, confirmed, and approved the common goals described in the draft Stakeholder Consensus Document, Section 2 Stakeholder Agreement Areas. They also reviewed the 24 unique items identified in Section 3 of the Stakeholder Consensus Document to reach final resolution on these items. Stakeholders resolved all unique items through acceptance and consequent incorporation into one of the previously identified common stakeholder goals, deleted items by mutual consensus, or documented unresolved issues that required additional research, clarification, or analysis. The unique items that could not be resolved during the meeting are specified below:

1. Further Research Required: Can Counties use State MSA Contracts for County procurement of CWS/CMS information technology goods and services? Use of an already approved contract vehicle will reduce the number of individual contract vehicles requiring ACF approval and should reduce APD approval times.
2. Further Research Required: Can the State provide Counties with a claim number at the time of State APD approval rather than when the Completion Report is submitted? This will alleviate problems with reimbursement on contracts that cross fiscal budget years and prevent counties from losing funding claimed for the corresponding county budget year. Otherwise, counties cannot get reimbursed until the end of the contract, which could be years in the case of multi-year contracts. This places a financial hardship on counties.
3. Further Research Required: How do counties get reimbursed for routine maintenance and operations (M&O) expenses incurred in support of the CWS/CMS? Counties have been requested to submit program maintenance estimates (e.g., ongoing operations expenses such as license renewal) within each APD, but generally do not submit APDs for these program costs. There is currently no APD process in place for approval of M&O expenses and the Counties do not want to be subjected to another County APD process for these expenses. [C1]If counties do not submit M&O expense claims to the State for reimbursement, county M&O expenses reported each fiscal year will not align with what

the State reports for county M&O expenses. There needs to be an easy non-duplicative process for on-going maintenance.

4. State to Provide Clarification: How do counties get reimbursed for equipment required to store digital photos and images? Counties are required by the courts to store digital photos and images for child abuse cases, which requires special equipment to accommodate these needs. Since the CWS/CMS does not currently support storage of this media, counties need clarification of how to charge related equipment costs for this peripheral equipment when it interfaces with the CWS/CMS.
5. Further Research Required: Can the CWS/CMS Project Office make its document management tool (iManage) and Management Tracking System (MTS II) available to the CDSS APD review/approval team for the purpose of gaining access to current versions of submitted APDs, and for determining status of submitted APDs? These 2 tools are currently deployed in the CWS/CMS Project Office and used by the APD approval team within that office. Problems related to iManage include its lack of availability to all APD reviewers/approvers and its time-consuming and cumbersome functions for storing large APD documents and for emailing these documents. Problems with MTS II include lack of availability to APD reviewers/approvers and inability to track all necessary information.
6. Further Research Required: Contact ACF and determine if there are any factors that they know of that would result in the speed up of their “As-Needed” APDU reviews for County APDs.
7. Further Research and Clarification Required: When submitting APDs for technology refresh activities (i.e. equipment replacements), must counties submit the equipment IDs of each piece of equipment being replaced? [C2]By the time the equipment replacement contract is approved and executed, the equipment to be replaced (and the corresponding equipment IDs) may have changed. Also, why is there a requirement to specify equipment replacement IDs for APDs but not MACs?

## 5 Refine and Reengineer Current Process

As shown in Figure 5-1, the following activities were performed during the Refine and Reengineer County APD Process task:

- Refine and Reengineer Current Process
- Document the Reengineered Process

REFINE AND REENGINEER COUNTY APD PROCESS (Section 5)	
Refine and Reengineer Current Process	<ul style="list-style-type: none"><li>• Refine and Reengineer Process</li><li>• Document the Reengineered Process</li></ul>
Reengineered CWS/CMS Project Office County APD Approval Process Flow Chart and Description	

Figure 5-1 – Overview of the Refine and Reengineer County APD Process

### 5.1 Refine and Reengineer Current CWS/CMS Project Office County APD Approval Process

Based on analysis of the baseline CWS/CMS Project Office County APD Approval Process from Section 3 and improvement goals from Section 4, deficiencies in the baseline CWS/CMS Project Office APD Approval Process were identified, as defined in Table 14. Results of the reengineered process can be found in Figure 5-2 through Figure 5-6. Refinement of the Approval Process will continue after this assessment effort is complete and will incorporate changes resulting from next steps documented in this document.

Legend Key	Key	Source Column Legend Key	Reference
	P	Review of Existing Policy and Regulations	(Section 3.1.1)
	M	Review of Existing Metrics	(Section 3.1.2)
	I	Interviews with Key Personnel	(Section 3.1.3)
	A	Analyze Current Process Practices	(Section 3.1.4)
	G	Goals	(Section 4)

**Table 14 – Description of Identified Deficiencies in Baseline CWS/CMS Project Office APD Approval Process**

Finding #	Process Step #	Reengineering Finding Descriptions	Goal #	Source	Problem Areas from Analysis Findings
F1	1-3	<p><b>Finding F1</b> In process step 1-3, the scope of review performed during the APD Pre-Review activity is minimal, focusing mainly on format of the APD but not rudimentary analysis of the APD content.</p> <p><b>Process Change</b> The APD Pre-Review Checklist will be broadened to include basic analysis of the APD content; this scope change does not replace the detailed analyses performed in the State APD Team Review (step 1-12) by the SMEs. The APD Pre-review Checklist will be modified to reflect the scope change and renamed State APD Pre-Review Checklist.</p> <p>Additionally, review findings will be included in the State APD Pre-Review Checklist where baseline process documentation was not standardized (Finding F2).</p> <p><b>Expected Benefits</b> Broadened content review will reduce the risk of multiple review cycles. This change may positively impact steps 1-11 through 1-23.</p>	5	A	Roles and Responsibilities
F2	1-4	<p><b>Finding F2</b> Pre-review findings are not documented in a standardized manner.</p> <p><b>Process Change</b> Pre-review findings will be documented in the State APD Pre-Review Checklist</p> <p><b>Expected Benefits</b> Standardizing documentation of the findings will support staff's effort to clearly communicate deficiencies and corrective recommendations and serve as the review baseline for other State reviewers. This change essentially eliminates step 1-4 in the flowchart and should increase efficiencies performing steps 1-6, 1-8, and 1-12.</p>	1, 5, 6	I, G	Standardization, Communications

Finding #	Process Step #	Reengineering Finding Descriptions	Goal #	Source	Problem Areas from Analysis Findings
F3	1-6	<p><b>Finding F3</b> The current practice involves crafting the County Email without a standardized reporting format. This results in inconsistent communication to the Counties.</p> <p><b>Process Change</b> The State will attach to the County Email a PDF copy of the State APD Pre-Review Checklist, which includes the findings.</p> <p><b>Expected Benefits</b> Bypassing the need to re-craft the findings into another format will save time. Additionally, the standardized format will support the analysis process.</p>	1, 5, 6	I, G	Standardization, Communications
F4	1-6	<p><b>Finding F4</b> Emails to County SSC and APD coordinator staff are redundant notifications; status is already provided to all via the CDSS Executive Friday Morning Meeting APD Summary report.</p> <p><b>Process Change</b> Eliminate Email notification to SSC and APD coordinator staff.</p> <p><b>Expected Benefits</b> Increased State efficiencies as a result of eliminating 2 redundant emails.</p>	3, 5	A	Eliminate Redundancies, Roles and Responsibilities
F5	1-9	<p><b>Finding F5 (same as F3)</b> The current practice involves crafting the County Email without a standardized reporting format. This results in inconsistent communication to the Counties. Process change:</p> <p><b>Process Change</b> The State will attach to the County Email a PDF copy of the State APD Pre-Review Checklist, which includes the findings.</p> <p><b>Expected Benefits</b> Bypassing the need to re-craft the findings into another format will save time. Additionally, the standardized format supports State communication standards.</p>	1, 5, 6	I, G, A	Standardization, Communications

Finding #	Process Step #	Reengineering Finding Descriptions	Goal #	Source	Problem Areas from Analysis Findings
F6	1-11	<p><b>Finding F6</b> CDSS Fiscal does not always review APDs during the initial formal reviews and may not become involved until the 2<sup>nd</sup>, 3<sup>rd</sup>, or later revisions. Due to the complex nature of allocating cost across all CWS programs, completion of the CAP section is often problematic. The State APD Review Team should include staff from CDSS Fiscal who should be tasked to review all APDs.</p> <p><b>Process Change</b> Include a SME from CDSS Fiscal as a member of the State APD Review Team.</p> <p><b>Expected Benefits</b> APD errors regarding allocation of costs to benefiting programs and allocation of costs to funding sources can be identified and resolved during the first review cycle based on adherence to the Division of Cost Allocation (DCA)-approved Cost Allocation Plan (CAP). This will reduce the possibility of multiple State review cycles.</p>	1, 3, 5	I, G, A, P	Roles and Responsibilities
F7	1-11	<p><b>Finding F7</b> MTS tasks for the County SSC and County Liaison create redundant notifications; status is already provided via the CDSS Executive Friday Morning Meeting APD Summary report.</p> <p><b>Process Change</b> Eliminate MTS tasks for the SSC and County Liaison.</p> <p><b>Expected Benefits</b> Increased State efficiencies through elimination of redundant activities.</p>	3, 5	IA	Roles and Responsibilities
F8	1-11	<p><b>Finding F8</b> Decision regarding who to include as SME reviewers should be made during the Pre-Review analysis.</p> <p><b>Process Change</b> Modify the State APD Pre-Review Checklist to make the APD lead analyst responsible for determining optional APD reviewers based on APD content.</p> <p><b>Expected Benefits</b> Increase State efficiencies. The number of State review cycles should be reduced since the correct State reviewers will provide recommendations during initial formal review cycles.</p>	3, 5	I, G, A	Roles and Responsibilities



Finding #	Process Step #	Reengineering Finding Descriptions	Goal #	Source	Problem Areas from Analysis Findings
F9	1-12	<p><b>Finding F9</b> Review findings are not documented in a standardized format.</p> <p><b>Process Change</b> The current APD Review Checklist will be modified to including an area to record findings; the modified document will be renamed the State APD Review Checklist. Reviewers will record their findings in the new form; the CDSS POC will copy CDSS review findings from CDSS Emails into the new form.</p> <p><b>Expected Benefits</b> Using a standardized reporting format provides the County with a structured format for documenting deficiencies and corrective recommendations. This change should increase efficiencies performing steps 1-18 through 1-23</p>	1, 5, 6	I, G, A	Standardization, Communications
F10	1-12	<p><b>Finding F10</b> County Liaison and County SSC are identified as APD reviewers but are not required</p> <p><b>Process Change</b> Delete the MTS tasks for the SSC and County Liaison.</p> <p><b>Expected Benefits</b> Increased State efficiencies by eliminating unnecessary activities associated with coordinating and tracking APD reviews.</p>	3	I	Roles and Responsibilities
F11	1-13	<p><b>Finding F11</b> Manually creating this weekly report is resource intensive and provided only once/week.</p> <p><b>Process Change</b> Create a standard MTS query globally accessible to all MTS users.</p> <p><b>Expected Benefits</b> Automating this task will eliminate a manual process, thereby increasing State efficiencies. The ability for management to generate Ad Hoc status reports could be made available through the purchase of report generation tool, such as Crystal Reports.</p>	5, 6	I, G, A	Tools

Finding #	Process Step #	Reengineering Finding Descriptions	Goal #	Source	Problem Areas from Analysis Findings
F12	1-17	<p><b>Finding F12</b> Currently the decision to hold a conference call is optional to the County. This does not meet the State's need to obtain timely information from County staff.</p> <p><b>Process Change</b> A State manager's approval is required to waive the required conference call.</p> <p><b>Expected Benefits</b> The State will be able to receive timely APD information from counties by determining whether weekly conference calls with counties are required.</p>	3, 5	I, G	Roles and Responsibilities
F13	1-18	<p><b>Finding F13</b> Review findings are not documented in a standardized format, requiring additional State resources to re-craft the findings into a reportable format.</p> <p><b>Process Change</b> A PDF version of the completed State APD Review Checklist will be Emailed to the County. The Email is sent from the APD/MACPRO Exchange box.</p> <p><b>Expected Benefits</b> Using a standardized reporting format provides the County with a structured format for documenting deficiencies and corrective recommendations. This change should increase efficiencies performing steps 1-18 through 1-23.</p>	1, 5, 6	I, G, A	Standardization, Communications
F14	1-20	<p><b>Finding F14</b> County submissions are frequently sent to personal mailboxes for State staff rather than to the APD/MACPRO mailbox used by the State APD review team. This can cause unnecessary delay in the review process.</p> <p><b>Process Change</b> APD Coordinator will communicate with the County via the APD/MACPRO mailbox user account, with instructions to submit County APDs and correspondence to the APD/MACPRO mailbox (step 18).</p> <p><b>Expected Benefits</b> Reduce the chance of delaying the State review.</p>	1, 3, 5	I, A	Communications, Roles and Responsibilities

Finding #	Process Step #	Reengineering Finding Descriptions	Goal #	Source	Problem Areas from Analysis Findings
F15	1-23	<p><b>Finding F15</b> The State APD Review Team has recently instituted the use of a meeting agenda and subsequent meeting minutes. Creating these documents requires additional State resources.</p> <p><b>Process Change</b> Utilize the completed State APD Review Checklist to serve as the agenda and annotate it with the action requests resulting from the conference call. The annotated document will capture all decisions made during the call and will be Emailed to all participants following the call.</p> <p><b>Expected Benefits</b> All decisions and action requests will be documented in State APD Review Checklist, which will be provided to participants with detailed action items. An additional benefit is increased State efficiencies by not copying information to a second format, tracking additional documents, etc.</p>	3, 5	I, A	Communications
F16	2-2	<p><b>Finding F16</b> Currently no template is used to draft the State APD denial letter.</p> <p><b>Process Change</b> Develop and utilize a template.</p> <p><b>Expected Benefits</b> Increase State efficiencies from steps 2-2 through 2-7 by utilizing a standard format for the ACF denial letter.</p>	5, 6	I, G	Standardization, Communications
F17	2-16	<p><b>Finding F17</b> Currently no template is used to draft the ACF transmittal letter.</p> <p><b>Process Change</b> Develop and utilize a template.</p> <p><b>Expected Benefits</b> Increase State efficiencies in steps 2-16 through 2-25 by utilizing a standard format for the ACF transmittal letter.</p>	5, 6	I, G	Standardization, Communications

Finding #	Process Step #	Reengineering Finding Descriptions	Goal #	Source	Problem Areas from Analysis Findings
F18	2-25	<p><b>Finding 18</b> The formal documentation for this process is split into numerous pieces and needs to be consolidated. The task of forwarding required documentation between CDSS and the CWS/CMS Project Office is completed in two formats (hardcopy and Email) and two disconnected clerical procedures.</p> <p><b>Process Change</b> The APD Coordinator forwards a hardcopy of the completed approval routing slip, which is annotated with the iManage numbers for the transmittal letter and As-Needed APD packet contents.</p> <p><b>Expected Benefits</b> State staff efficiencies for steps 2-25 and 2-26.</p>	5	I	Standardization, Communications
F19	3-1	<p><b>Finding F19</b> Currently no template is used to draft the APD approval letter.</p> <p><b>Process Change</b> Develop and utilize a template.</p> <p><b>Expected Benefits</b> Increase State efficiencies in steps 3-1 through 3-6 by utilizing a standard format for the APD approval letter.</p>	5, 6	I, G	Standardization, Communications
F20	3-2 and 3-3	<p><b>Finding F20</b> Implementing Finding F19 will reduce the review requirement to QA only.</p> <p><b>Process Change</b> Task only QA to review draft approval letter.</p> <p><b>Expected Benefits</b> Increase State efficiencies in steps 3-2 through 3-3 by utilizing a standard format for the denial letter.</p>	1, 5, 6	I, G	Standardization, Communications

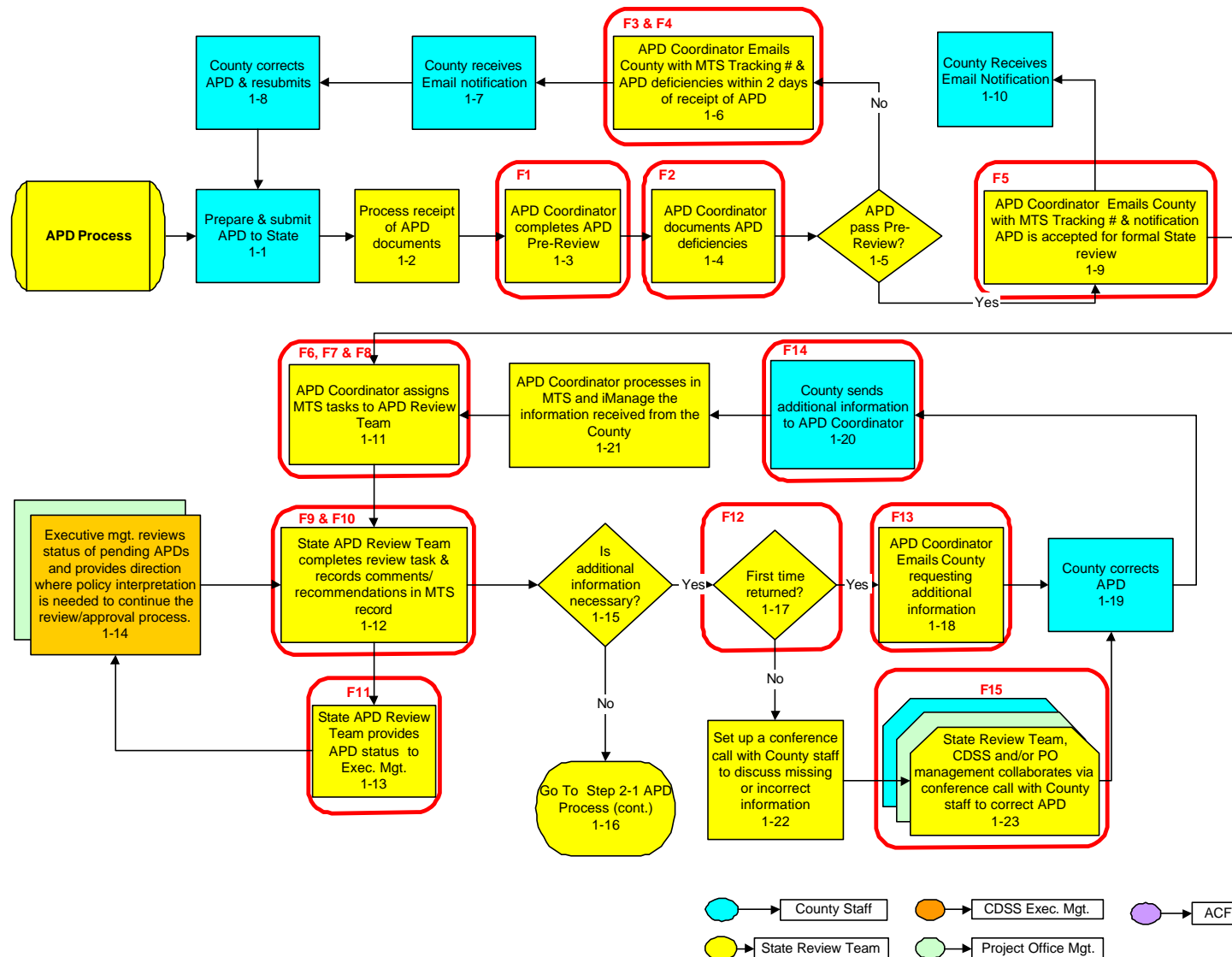


Figure 5-2 – Annotated Reengineered County APD Project Office Approval Process Flow Chart (steps 1-1 to 1-23)

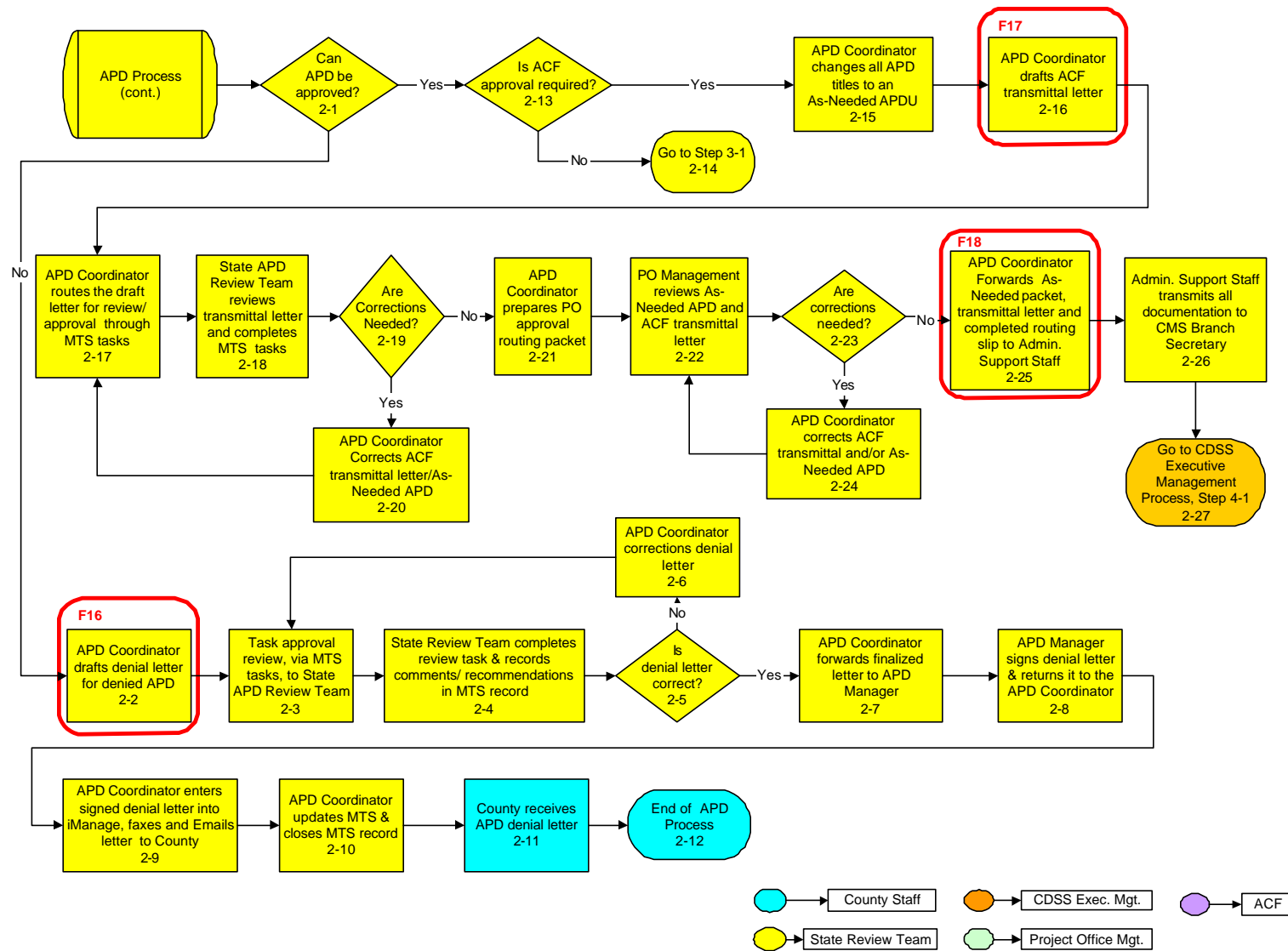


Figure 5-3 – Annotated Reengineered County APD Project Office Approval Process Flow Chart (steps 2-1 to 2-27)

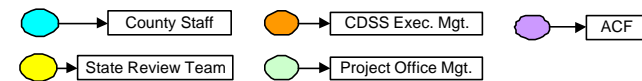
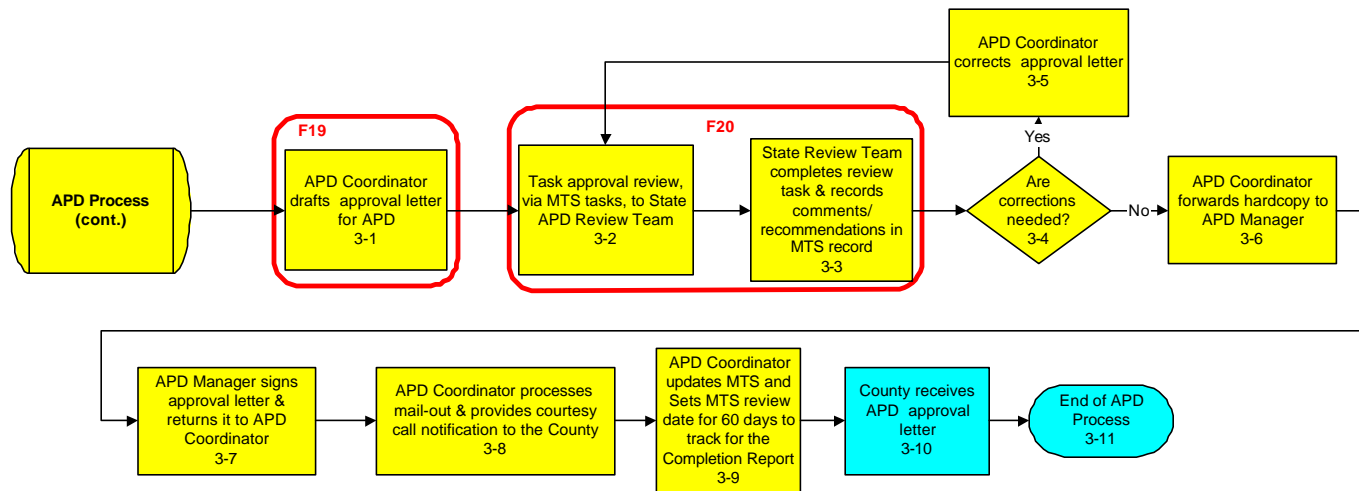


Figure 5-4 – Annotated Reengineered County APD Project Office Approval Process Flow Chart (steps 3-1 to 3-11)

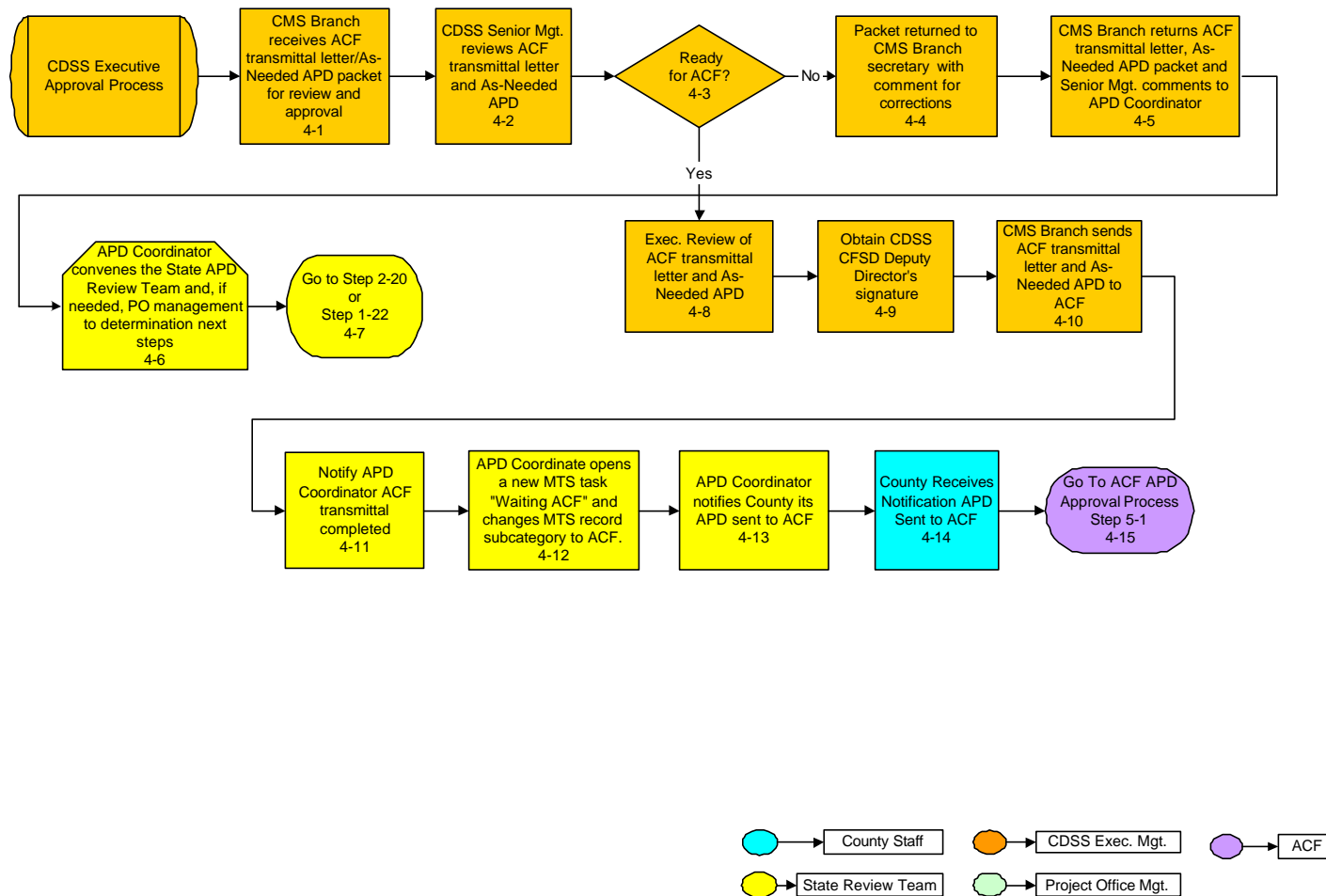


Figure 5-5 – Annotated Reengineered County APD Project Office Approval Process Flow Chart (steps 4-1 to 4-15)



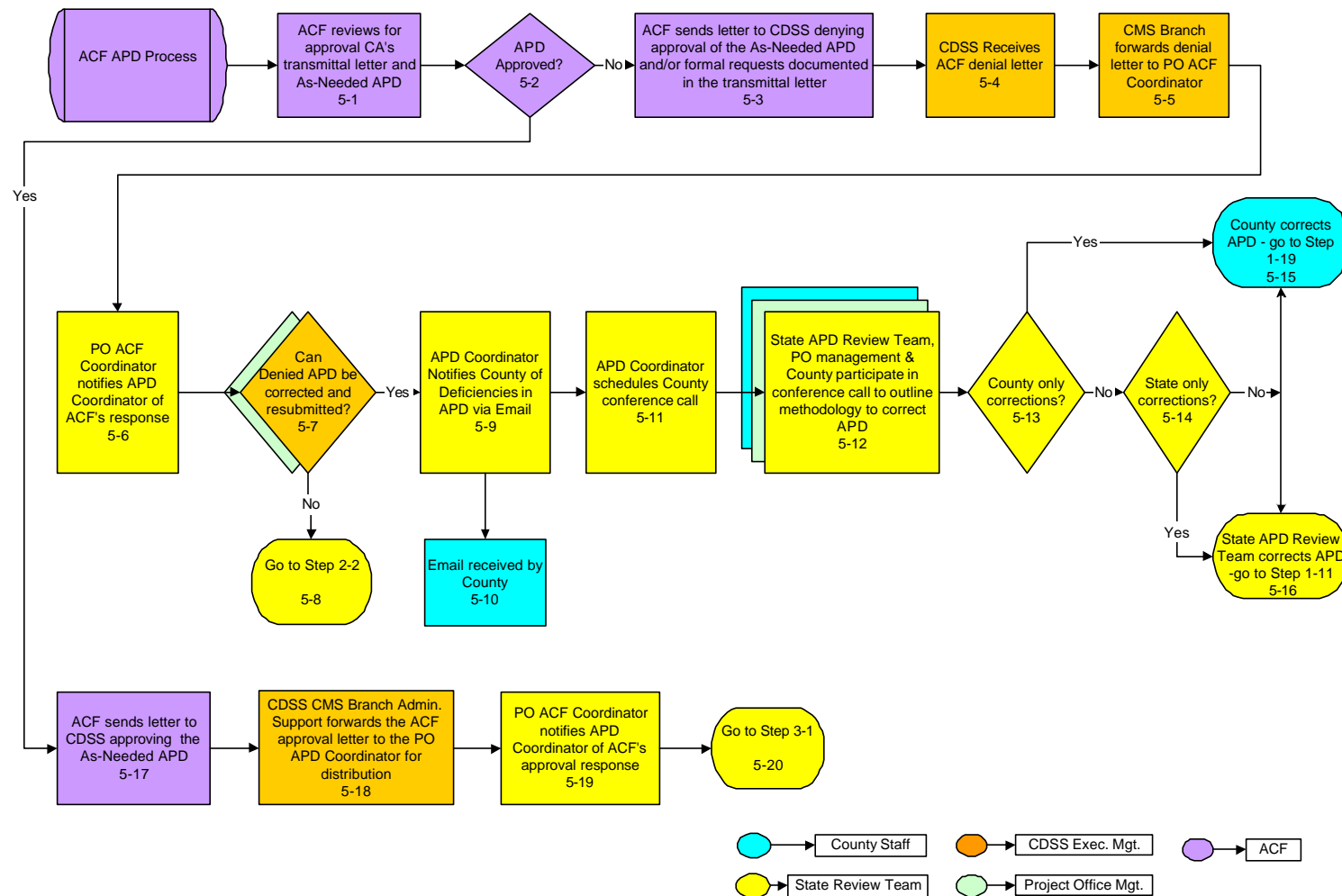


Figure 5-6 - Annotated Reengineered County APD Project Office Approval Process Flow Chart (steps 5-1 to 5-20)

## ***5.2 Document Reengineered CWS/CMS Project Office County APD Approval Process***

The completed and reengineered baseline process flowchart and descriptive narrative can be found in Appendix C: Reengineered County APD Review and Approval Process Flow Chart and Appendix D: Reengineered County APD Review and Approval Process Flow Description respectively.

## 6 Recommended Next Steps to Address Goals Outside the Scope of This Project

NEXT STEPS TO ADDRESS GOALS OUTSIDE THE SCOPE OF THIS PROJECT (Section 6)	
Develop Next Steps to Address Goals Outside the Scope of this Project	
<ul style="list-style-type: none"><li>• Identify Next steps</li><li>• Identify Resource Requirements</li></ul>	
Recommended Next Steps	

**Figure 6-1 – Overview of Recommended Next Steps to Address Goals Outside the Scope of This Project**

Stakeholder Goals go beyond the scope of the project charter, and will require approval of additional project resources to conduct new projects. Many of these goals require management decisions regarding roles and responsibilities and the documentation of guidelines and standards that must be first agreed upon by the approval authority of the associated standard.

Although stakeholders have a strong desire to introduce process automation at an early stage of any future efforts, fulfillment of at least the first 3 goals will be required prior to this endeavor. During refinement of the current CWS/CMS Project Office County APD Approval Process flowcharts and descriptions, stakeholders recommended only minor refinements to the process. The majority of the goals related to a lack of guidance, roles and responsibilities, and training. Without completion of these, process automation will not fully succeed.

However, all of these goals identified in this paper are outside the scope of this project, and are addressed with recommended next steps in the following subsections.

### 6.1 Identify Next Steps

Based on analysis results from Section 3 and 4, Goals #1, 2, and 3 were determined to be areas that require immediate attention and offer greatest amount of immediate stakeholder benefit.

- Goal (1) Create comprehensive and easy to understand APD guidelines for the Counties
- Goal (2) Identify the legal requirements for County APDs
- Goal (3) Document the Roles and Responsibilities for the County APD Process

The remainder of this section focuses on these three goals, and identifies a detailed list of recommended documents that must be created by the State to meet these three goals.

Implementation of Goals #4 through 7 is recommended for additional consideration after implementation has been completed for the first 3 goals.

#### 6.1.1 Goal #1 and #2 Recommended Next Steps

**Goal 1: Create comprehensive and easy to understand APD guidelines for the Counties**

**Goal 2: Identify what the legal requirements are for County APDs**

Implementation of Goals #1 and 2 will require development of extensive guidance and documentation, which will be accompanied by development of formal change management procedures. Process documentation will clearly define process roles and responsibilities for State and county staff. Documentation of project roles and responsibilities for implementing these

Goals will be documented in formal Project Management Plans for each project. Based on stakeholder workshops and analysis of results, the following APD process supporting documentation items have been identified and agreed on by the stakeholder groups.

- State Guidelines for Building an APD (APD Guide)
- Work Guides
- ACF Checklists
- Templates
- Examples
- FAQ

The following activities are required to provide management, support, and training for the new guidelines.

- Change Management
- Update APD Review and Approval Process
- APD Training Guide
- Additional State Review and Approval Guidelines

#### **6.1.1.1 State Guidelines for Building an APD (APD Guide)**

This document will describe what an APD is, the main types of APDs (simple/complex), and how to decide which type of APD to select when documenting the project to be presented for funding approval. It will contain at least the following sections:

- Definitions (i.e. what constitutes a project?)
- County APD Planning Checklist (County fiscal, IT, program, legal, procurement)
- Requirements section
  - o State requirements (program, IT, fiscal, procurement)
  - o IT requirements
  - o Program requirements
  - o Fiscal requirements
  - o Procurement requirements
  - o Federal requirements (program, IT, fiscal, procurement)
  - o IT requirements
  - o Program requirements
  - o Fiscal requirements
  - o Procurement requirements
- Samples
  - o Requirements alternatives analysis
  - o Building a business justification
  - o CBA development and analysis
  - o Budget Tables
  - o Cost Allocation Plan (CAP) table
  - o Depreciation table
  - o Procurement Documents
  - o Various kinds of APDs dependent on goods/services, complexity,
  - o Procurement strategies
- SACWIS/non-SACWIS Matrix explanation and instructions

- Templates (Appendix item) and instructions on how & when to use them
  - o Cost Allocation Worksheet (similar to the DOF Economic Analysis Worksheets (EAW))
  - o Budget worksheet (similar to the EAW)
  - o Basic APD Template
- State and/or Federal procurement checklist with background documentation for each line item
- CAP guidelines and methodology  
These should be a straightforward process oriented instruction set that could be used for routine County APDs. They must conform to the more specific detailed County APD CAP and Guidelines, which provides detailed guidelines that should cover most County APDs (See Section 6.1.1.1.1)
- High level Timeline (starting from county initiation through approval) and cut-off dates – should be depicted in a manner that relates to the county’s business process
- CWS/CMS APD Assistance Contacts List (list by functional and subject area)
- County compliance checklist and instructions
- Guide content should address how the APD fits into the overall County Funding Process.

#### ***6.1.1.1.1 County APD CAP and Guidelines***

This will present the detailed CAP approach, methodology, and guidelines for counties to use during APD development.

#### ***6.1.1.1.2 Cost Allocation Workbook***

This will be spreadsheets or other mechanisms that allow counties to prepare cost allocation data using pre-formatted forms containing pre-defined formulas.

#### ***6.1.1.1.3 APD Sign Off Page***

Each County APD will contain a sign-off page similar to the one required for a State Feasibility Study Report (FSR).

#### **6.1.1.2 Explanation of Federal Directives**

This document will interpret the Code of Federal Regulations (CFR) as they apply to the County APD Process, and will include the following sections.

- Code of Federal Regulations (CFRs)
- Action Transmittals (AT)
- Program Instructions (PI)
- Office of Management and Budget (OMB) Circulars

#### **6.1.1.3 Legal Rulebook**

This document will contain easy to understand interpretations of the Federal and State regulations as they apply to APDs and procurement requirements.

#### **6.1.1.4 Vendor Quote Form**

This will explain the quote requirements, and include the standard vendor quote form and instructions for its use.

#### **6.1.1.5 County Checklist**

The enhanced ACF Checklist, with background documentation for each checklist item stated in layman's terms.

#### **6.1.1.6 Templates**

Downloadable templates will be developed for the APD document, in MS Word, and for the cost allocation workbook, in MS Excel, both of which will be available on the Web. The documentation will include descriptions of requirements for several types of APDs, such as the simple scheduled replacement of equipment and the more complex and expensive projects to improve program delivery.

#### **6.1.1.7 Examples**

Actual examples of previously approved and denied APDs (including reasons for denial) will be provided on the Web site, and will be kept current to reflect current regulations and requirements.

#### **6.1.1.8 Frequently Asked Questions (FAQs)**

A frequently asked questions (FAQ) page will be provided in a searchable "question and answer" format.

##### ***6.1.1.8.1 Current ACF Hot Topics (Web posting)***

This will be a Web page that contains Frequently Asked Questions (FAQ), in question and answer format, regarding the County APD Process, and also information regarding the latest ACF decisions.

#### **6.1.1.9 Change Management**

When the new County APD Process and its supporting products are in place, there will be a formal change management process, maintenance of product content to keep it current, current communications management, and training material content management to accomplish. Also, the rule that requires every County project to be subject to APD submittal, regardless of dollar value, will be in effect which will significantly increase the volume of APDs submitted to the State for review.

The State stakeholder organizations need to study the new environment, to identify the requirements for additional resources to ensure the timely processing of County APDs, and the success of the new County APD Process. The first step would be to identify the additional tasks and level of effort required to manage the new process and products, and to determine the roles, responsibilities, and service level objectives of each stakeholder group.

#### **6.1.1.10 Update APD Review and Approval Process**

The CWS/CMS County APD Review and Approval Process will be updated to support and/or include the following activities:

- APD Reviewers Roles and Responsibilities (R&R), as they relate to APD components
- State sign-off roster (related to R&R)
- Escalation Process (with R&R)
- Detailed Standard APD Approval Timeline
- Detailed Complex APD Approval Timeline
- APD Process Flowchart & Definition Matrix
- Service Level Agreement (SLA) and related Service Level Objectives (SLO)
- State APD Reviewer's Guide and Process – provides scope clarification to reviewers and documents what they are responsible for when providing review/approval
- Description of tools and their usage in the process

#### **6.1.1.11 APD Training Guide**

A State and County APD training guide will be developed to provide training for the process changes and guidance provided above. It will include a resource section that provides information on other State resources required for training, e.g. procurement, contracts management.

The training will be delivered via a regularly scheduled (bi-annual) classroom-based curriculum.

### **6.1.2 Goal #3 Recommended Next Steps**

#### ***Goal 3: Document the roles and responsibilities for the APD process***

Implementation of Goal #3 will require the establishment of clearly defined lines of authority for each area of the process. Each stakeholder with approval authority in the process must be responsible for maintaining and clearly communicating the guidelines and standards that are used for development of an acceptable County APD and its associated review and approval. Specific stakeholder goals with regard to roles and responsibility are as follows:

- Establish roles and responsibilities associated with sign off and approval of APDs
- Establish formal Service Level Objectives (SLOs), and associated roles and responsibilities for meeting these timelines:
  - o Review and Approval Timeline
  - o Review Process Timelines and Cutoff Dates.
  - o County Response Timelines
- Establish Single Points of Contact (SPOCs) for specific subject areas within APD guidance documentation (CDSS CMS Support Branch, CDSS Fiscal, CDSS Legal, CWS/CMS Project)
- Establish escalation process with defined roles and responsibilities
- State staff assignments and responsibilities, including procurement, fiscal, and business.
  - o The standardized steps and the associated business rules.
  - o Clarification of the reviewers' roles.
  - o State staff sign offs required.

### **6.1.3 Goal #4 Recommended Next Steps**

#### ***Goal 4: Provide comprehensive training to the State and Counties***

As documents associated with Goals #1 through 3 are developed and implemented, comprehensive training will need to be developed and conducted. This will support initial training for any new county staff and provide any training to existing staff on updated documentation and guidance. Ongoing County APD training will also be used to disseminate information regarding changes to the process and/or current problems.

Training for the State Review Team will need to be developed and provided on a recurring schedule.

### **6.1.4 Goal #5 Through 7 Recommended Next Steps**

#### ***Goal 5: Update The Process To Include Improvements and Resolve Identified Problems***

#### ***Goal 6: Resolve issues with the current process support tools***

#### ***Goal 7: Automate the APD process***

Upon completion of Goals #1 through 4, processes will be updated to reflect the guidance developed through implementation of these Goals. At that time, further analysis will be required to determine the adequacy of automated tools used in the County APD Approval Process. In addition, further analysis will be required to determine what process components can be automated.

### **6.1.5 Resource Requirements (for Implementing Goals #1, 2, and 3)**

As indicated in Table 15, significant resources will be required to prepare and publish the documents associated with Goals #1 and 2. Each participating organization must provide resources with requisite skills for this effort and must commit to the number of hours required to complete each document. Project teams must be responsible for and be given the management support necessary to fulfill the goals of each project.

Each of the documents will require staff for coordination of effort and compilation of the information, and subject matter experts (SME) to research and create the information. The SMEs will be from the Program, Fiscal, Legal, and IT areas, and may be required to contribute to several of the supporting documents; such as sections of the APD Guide, document templates, “translations” of Federal and State regulations, and procurement requirements.

There will be product administrators assigned from Project Office staff that will be responsible for facilitating the compilation of the documents using the project documentation standards. There will be document writers and contributors who will be SMEs in the subject areas to be described, and will create the main body of each document. There will be reviewers assigned to each document who will ensure that the document content is correct, understandable, and fulfills the stated need.

The CWS/CMS Project Office has identified the tasks to be done, estimated the effort for each, and identified the associated resource requirements.



### 6.1.5.1 Resource Requirement Results for Goals #1 through 3

This section provides estimates of the resources and timelines required to implement these efforts such that project teams can be established, projects prioritized, and work begun.

It is not yet possible to create a project schedule because several critical contributing factors cannot be determined until the start of the next project phase. These include the identification and prioritization of tasks, establishment of task dependencies, resource availability, and determination of resource skill levels.

Table 16 provides the States resource effort and duration estimates. Explanation of the contents of the table and how to read it are explained below:

- Role column – indicates the intended role for each of the designated participants as follows:  
(W) Document Writer – The Document Writer is the author and team leader for developing the document. The Document Writer has ultimate responsibility for preparation of a specified document and will coordinate the efforts of Contributors and the Administrator.  
(C) Contributor – Contributors are team members that play a support role in document development. Contributors are team members that provide direct support to the Document Writer and provide subject matter expertise required to develop the specified document.
- Effort column – 1 unit of effort is equivalent to 1 business week (i.e. 5 business days).
- Estimated Duration column – displays the current best estimate, in business weeks, to complete each documentation task individually, which does not include the effects of parallel tasking and the corresponding inter-dependencies.
- Totals row – total rows at the bottom of the table indicates the initial estimate of total effort required from each stakeholder group, and includes all task roles assigned to that stakeholder group (i.e., administrator, document writer, contributor).

All team members will review each documentation item produced before it is distributed for wider review. The documents will be considered complete when approval has been received from a stakeholder designated approval body. When a document has been completed, it will be input to the formal Change Management Process, and announced and published for stakeholder use as appropriate (e.g. web page).

It should be noted that the review and stakeholder approval time have not been incorporated into the estimates in the table. The estimates are for creating each documentation product only.

**Table 15 – Overview of Total Estimated Effort and Duration for Implementing Goals #1 and 2**

	CWS/CMS Project Office	CDSS CMS Support Branch	CDSS Fiscal	CDSS Legal	CWDA		
Deliverable Description	Effort	Effort	Effort	Effort	Effort	Total Estimated Effort	Total Estimated Duration
1. State Guidelines: Building an APD	76	44.5	39	16.5	17	176	76
2. County APD CAP and Guidelines	4	1	1			6	4
3. Explanation of Federal directives including how and where they apply to County APDs	3	3	3	3		12	3
4. Legal Rulebook	2			7		9	7
5. Vendor quote form	2	1		1		4	2
6. Current ACF Hot Topics (WEB posting)	3	2	1	2		8	3
7. APD Training Guide	5	2	1		1	8	5
8. County APD Communication Plan	2	0.5	0.5	0.5	0.5	3.5	2
9. APD Review and Approval Process	16	12	5.5	6	3	39.5	16
Total Estimated Effort	113	66	51	36	21.5	266	118

**Table 16 – Detailed Resource Effort Estimates for Implementing Goals #1 and 2**

Document	Project Office		CDSS CMS Support Branch		CDSS Fiscal		CDSS Legal		CWDA		Est. Duration
	Role	Effort	Role	Effort	Role	Effort	Role	Effort	Role	Effort	
<b>1. State Guidelines: Building an APD – will contain at least the following sections:</b>											
• Definitions (i.e. what constitutes a project?)	W	1	C	0.5	C	0.5	C	0.5	C	0.5	1
• County APD Planning Checklist (County fiscal, IT, program, legal, procurement)	W	1	C	0.5	C	0.5	C	0.5	C	0.5	1
• Requirements section											
State requirements (program, IT, fiscal, procurement)											
IT requirements	W	3	C	0.5	C	0.5	C	0.5	C	0.5	3
Program requirements	C	1	W	3	C	0.5	C	0.5	C	0.5	3
Fiscal requirements	C	1	C	0.5	W	2	C	0.5	C	0.5	2
Procurement requirements	C	1	C	0.5	C	0.5	W	2	C	0.5	2
Federal requirements (program, IT, fiscal, procurement)											
IT requirements	W	3	C	0.5	C	0.5	C	0.5	C	0.5	3
Program requirements	C	1	W	3	C	0.5	C	0.5	C	0.5	3
Fiscal requirements	C	1	C	0.5	W	2	C	0.5	C	0.5	2
Procurement requirements	C	1	C	0.5	C	0.5	W	2	C	0.5	2
• Samples											
Requirements alternatives analysis	W	2	C	1.5			C	1	C	0.5	2
Building a business justification	C	3	W	3	C	0.5	C	0.5	C	0.5	3
CBA development and analysis	W	2	C	2	C	0.5					2
Budget Tables	W	3	C	1	C	1			C	1	3
CAP table	C	3	C	1	W	3			C	1	3
Depreciation table	W	3	C	1	C	1			C	1	3
Procurement Documents	W	5	C	3	C	1	C	1	C	1	5
Various kinds of APDs dependent on goods/services, complexity, procurement strategies	W	5	C	3	C	1	C	1	C	1	5
• SACWIS/non-SACWIS Matrix explanation and instructions	C	5	W	5	C	3	C	1	C	1	5
• Templates (Appendix item) and instructions on how & when to use them											

Cost Allocation Worksheet (similar to the EAW)	C	5	C	3	W	3					5
Budget worksheet (similar to the EAW)	W	5	C	3	C	3					5
Basic APD Template	W	2	C	0.5	C	0.5					2
• State and/or Federal procurement checklist with background documentation for each line item	W	5	C	3	C	1	C	3			5
• CAP guideline and methodology	C	7	C	1	W	9					9
• High level Timeline (starting from county initiation through approval) and cut-off dates – should be depicted in a manner that relates to the county’s business process	C	2	C	1	C	1			W	2	2
• CWS/CMS APD Assistance Contacts List (list by functional and subject area)	W	1	C	0.5	C	0.5					1
• County compliance checklist and instructions	W	2	C	1	C	1	C	1	C	1	2
• Guide content should address how the APD fits into the overall County Funding Process.	W	2	C	1	C	1			C	2	2
<b>2. County APD CAP and Guidelines</b>	W	4	C	1	C	1					4
<b>3. Explanation of Federal directives including how and where they apply to County APDs</b>											
• CFRs	C	1	C	0.5	C	0.5	W	2			2
• ATs, and PIs	C	1	W	2	C	0.5	C	0.5			2
• OMB Circulars	C	1	C	0.5	W	2	C	0.5			2
<b>4. Legal Rulebook</b>	C	2					W	7			7
<b>5. Vendor quote form</b>	W	2	C	1			C	1			2
<b>6. Current ACF Hot Topics (WEB posting)</b>	W	3	C	2	C	1	C	2			3
<b>7. APD Training Guide</b>	W	5	C	2	C	1			C	1	5
<b>8. County APD Communication Plan</b>	W	2	C	0.5	C	0.5	C	0.5	C	0.5	2
<b>9. APD Review and Approval Process</b>											
• APD Reviewers Roles and Responsibilities (as it relates to APD components)	W	5	C	5	C	1	C	1			5
• State sign-off roster (tied to R&R)	W	1	C	0.5	C	0.5	C	1			1
• Escalation Process (with R&R)	W	1	C	1	C	0.5	C	0.5	C	0.5	1
• Detailed Standard APD Approval Timeline	W	1	C	0.5	C	0.5	C	0.5	C	0.5	1
• Detailed Complex APD Approval Timeline	W	1	C	0.5	C	0.5	C	0.5	C	0.5	1
• APD Process Flowchart & Definition Matrix	W	3	C	3	C	1	C	1	C	1	3
• SLO/SLA	W	1	C	0.5	C	0.5	C	0.5	C	0.5	1

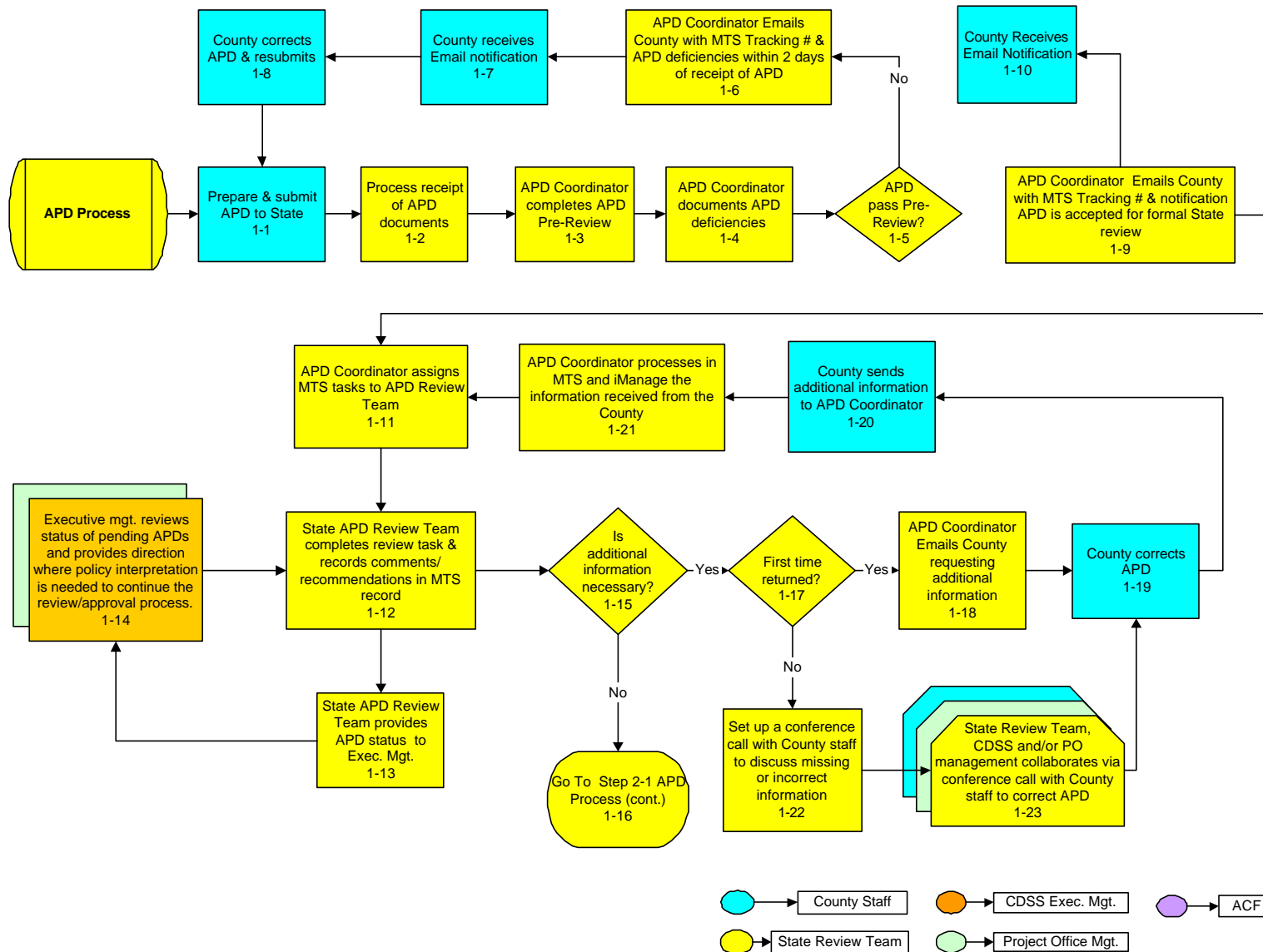
<ul style="list-style-type: none"> <li>State APD Reviewer's Guide and Process – provides scope clarification to reviewers and documents what they are responsible for when providing review/approval.</li> </ul>	W	3	C	1	C	1	C	1			3
<b>Totals</b>		<b>113</b>		<b>66</b>		<b>51</b>		<b>36</b>		<b>21.5</b>	<b>131</b>

**Note:** Estimate Totals shown above do not include document review or approval time.

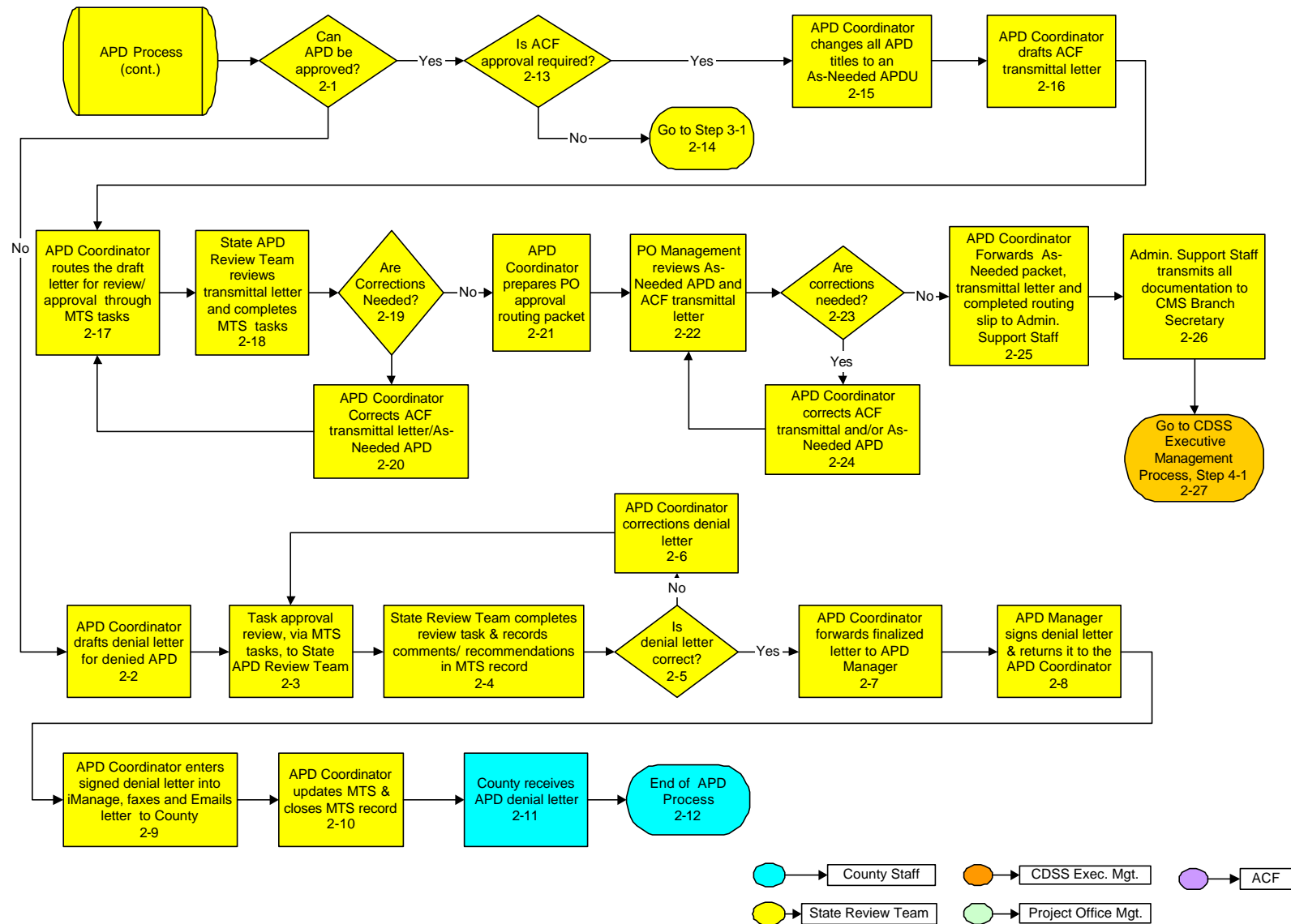
## 7 Referenced Material

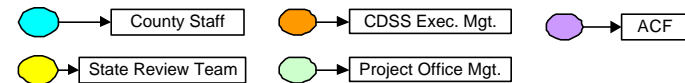
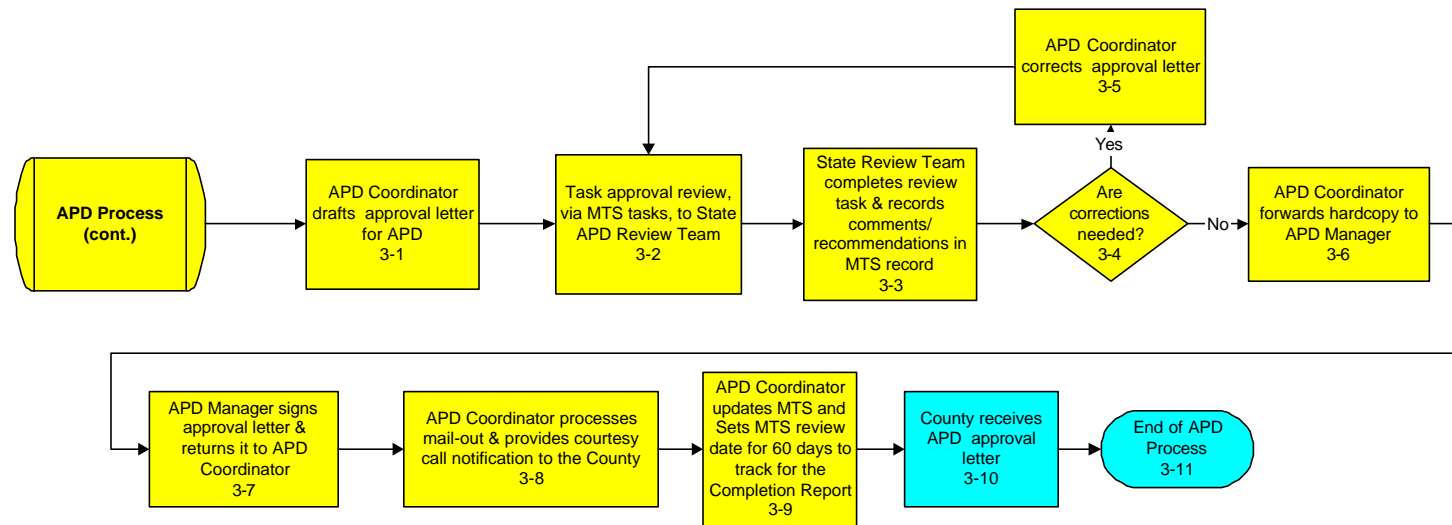
- Reference [1] A Guide for State, Local and Indian Tribe Governments ASMB C-10, Cost Principles and Procedures for Establishing cost Allocation Plans and Indirect Cost Rates for Agreements with the Federal Government, U.S. Department of Health and Human Services, 8 April 1997
- Reference [2] 45 CFR 74
- Reference [3] 45 CFR 95
- Reference [4] ACF Action Transmittals
- Reference [5] State Systems County APD Guide, Department of Health and Human Services, September, 1996
- Reference [6] ACF Information Memoranda
- Reference [7] ACF Program Instructions
- Reference [8] CDSS Manual of Policies and Procedures, Div 28 – Operations Manual, California Department of Social Services, April 1, 1989
- Reference [9] CAPE Desk Guide, CWS/CMS Web Site, April 24, 2006
- Reference [10] County APD Guidelines, CWS/CMS Web Site, September 26, 2003
- Reference [11] Clarification to Aid County Preparation of the Advance Planning Document (APD), CWS/CMS Web Site, undated

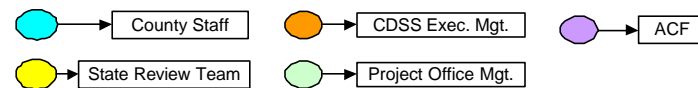
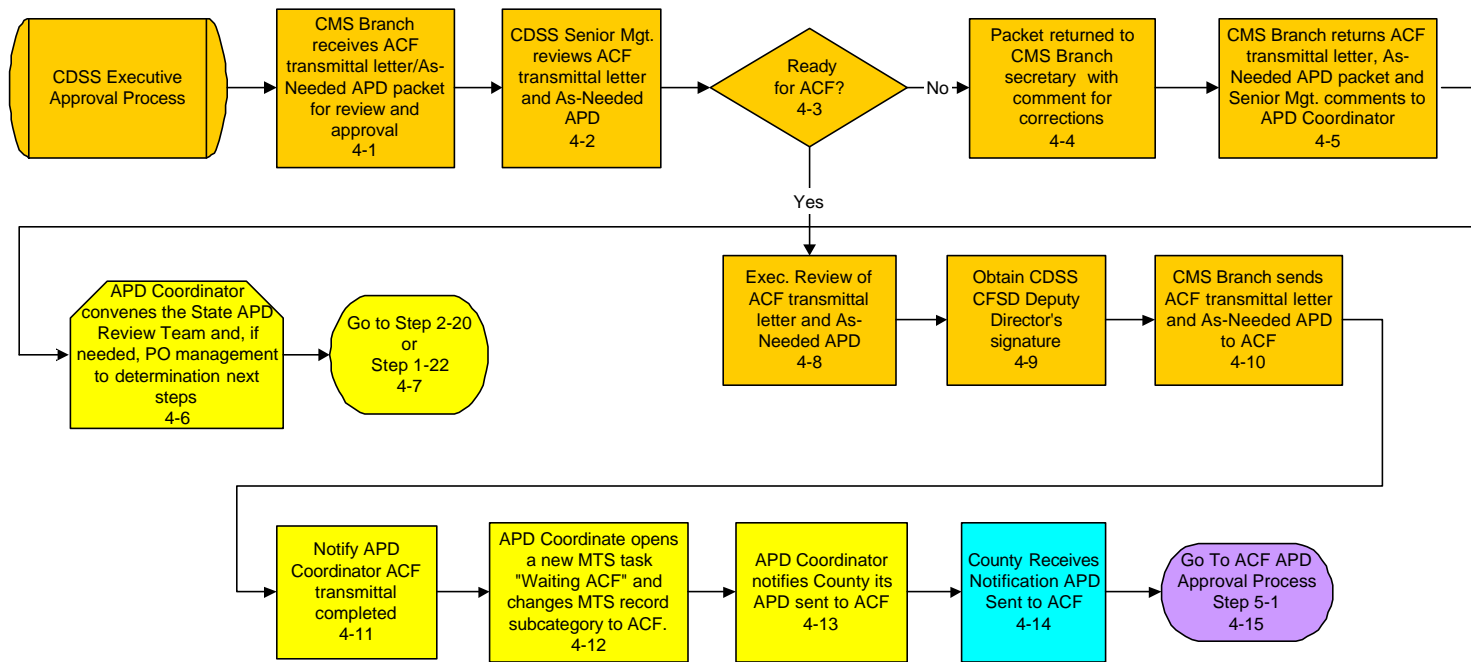
## **Appendix A: Baseline County APD Review and Approval Process Flow Chart**

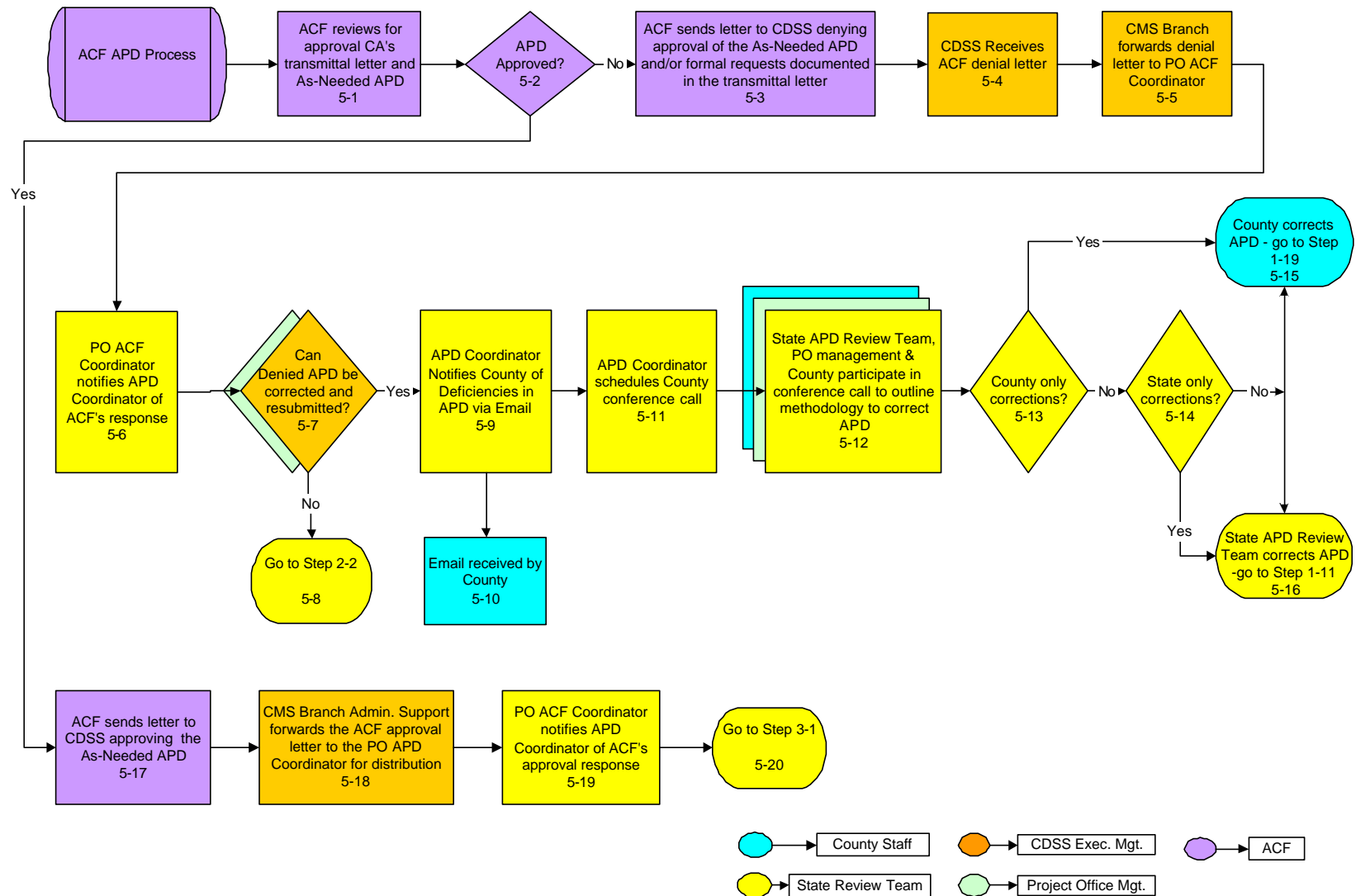












## **Appendix B: Baseline County APD Review and Approval Process Flow Description**

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
1-1	County prepares and submits APD.	Counties must submit an Advance Planning Document (APD) to request funds for electronic data processing (EDP) goods and/or services related to the Child Welfare Services / Case Management System (CWS/CMS). The APDs must satisfy Division 28 of the California Department of Social Services Manual of Policies and Procedures, APD/Move Add Change (MAC) guidelines, and the code of federal regulations (45 CFR). The APD guidelines are available online at <a href="http://www.hwcws.cahwnet.gov/forms/">http://www.hwcws.cahwnet.gov/forms/</a> . The APD is a written document and should be created in MS Word that includes eight predefined sections. The document is typically submitted via Email.	County staff	State: Division 28 and APD/MAC Guidelines  Federal: 45 Code of Federal Regulations (CFR) 74.44(e)(2) and 95.611  County: CWS/CMS EDP requirements.	APD document with supporting materials as needed.	N/A
1-2	Process receipt of the County APD documents	Upon receipt by the State, all documents in the County APD are entered in iManage. A MTS record is opened to track all review activities and outcomes. The iManage documents are linked to the MTS record.  A six-digit tracking number is assigned to the APD and is used to track activity related to the APD until its final status is reached. The new tracking number is entered in the PO APD Tracking Number Log. The tracking number follows the following format: Digits 1-2 denotes county ID Digits 3-6 represent the MTS record number. If the received APD is a re-submission, the existing MTS record is updated and the same APD tracking number is used.  The APD Coordinator constructs a hardcopy folder to manage all APD documentation; this folder contains both documents that will later be stored in the Project Library and those that are utilized only as working copies.	APD Coordinator	County APD package  All documentation associated with the review/approval including Emails  Pre-review checklist  Folder coversheet	Documents saved in iManage  New or updated MTS record  Updated APD Tracking Number Log  Hardcopy collection of the APD package and complied review/approval documentation	Within 2 business days of APDs receipt by the State
1-3	Conduct the Pre-Review on the APD Packet	The APD is checked to ensure all required sections (8) are included in the submitted APD. The "CWS/CMS APD Pre-Review Checklist" is utilized for this task.	APD Coordinator	APD Pre-Review Checklist Template	Completed APD Pre-Review Checklist	Within 2 business days of APDs receipt by the State

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
1-4	Does the APD pass Pre-Review?	If the APD package passes the Pre-Review checklist then proceed to Step 1-9. If the APD package is not satisfactory then proceed to Step 1-5 (Incomplete APD submission). Note that the APD must pass the initial Pre-Review Checklist before the clock starts on the State's review of the APD.	APD Coordinator	Completed Pre-Review Checklist	Next Process steps	Within 2 business days of APDs receipt by the State
1-5	Document APD Deficiencies	The deficiency findings from the pre-review are recorded in the MTS record; findings are limited to identifying missing components/sections.	APD Coordinator	Completed APD Pre-Review Checklist	Updated MTS record	Within 2 business days of APDs receipt by the State
1-6	Notify the County its APD is incomplete	Deficiencies found during the pre-review task are documented in an Email and sent to the County APD contact; a courtesy copy is forwarded to the County SSC, and APD coordinator staff. Email directs County to re-submit the APD after deficiencies are corrected and reference the APD tracking number. The Email is sent from either APD Coordinator's mailbox and saved in iManage.	APD Coordinator	Completed Pre-Review Checklist	Email	Within 2 business days of APDs receipt by the State
1-7	Receive Email that the APD is incomplete	The County receives notification APD is deficient and must be corrected before the State's approval review commences.	County Staff	Email with all APD deficiencies identified and APD tracking number	None	N/A
1-8	County Corrects APD	County corrects APD and re-submits. Return to Step 1-1	County Staff	Email listing APD deficiencies	Corrected APD documentation	N/A
1-9	Email to County acknowledging acceptance of APD for State review	An Email is sent to county acknowledging the State's receipt of the APD package and initiation of the formal State Review Process. The County is also provided the APD tracking number, which must be referenced in all future correspondence on the pending APD.  <i>NOTE: If this is in response to additional information requested from the County, the MTS task titled "Waiting County Response from XX County" is closed.</i>	APD Coordinator	APD Tracking Number	Email to County	Within 2-business days of receipt of APD.
1-10	Email received by County	The County receives the Email notification that its submitted APD is undergoing State review for approval.	County Staff	Email		
1-11	Assign review tasks to APD Review Team	APD review tasks are assigned through MTS task records. The CDSS POC is advised all APD documents will be provided to CDSS via Email transmission.	APD Coordinator	All APD package documents entered into iManage	Email with entire APD package attached.	10-business day review clock starts.

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
		<p>Required MTS tasks are created for the following State APD Review Team members:</p> <ul style="list-style-type: none"> <li>? CDSS Point of Contact (POC)</li> <li>? PO APD coordinators (2)</li> <li>? QA</li> </ul> <p>The APD coordinator will determine if the APD requires additional reviews by PO SMEs and will assign MTS tasks as follows:</p> <ul style="list-style-type: none"> <li>? APDs for hardware are reviewed by PO Operations SME</li> <li>? APDs that involve the Application are reviewed by PO Application manager</li> <li>? APDs that reference contract terms and conditions are reviewed by Legal Counsel</li> </ul> <p>The CDSS POC is responsible for tasking review assignments to the CDSS staff assigned to the State APD Review Team. These CDSS members are: CMS Branch Admin. manager, CDSS County consultant, CMS APD analyst and the CMS Branch chief. Additionally, the CDSS POC will make the APD documents available to CDSS staff. If the CMS Branch determines a need for fiscal review, it will task the CDSS Fiscal Unit.</p> <p>MTS task records are always created for the County SSC and County Liaison to provide a "FYI" notice but do not include a review responsibility.</p>		MTS record	MTS tasks for all reviewers	



Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
1-12	State APD Review Team completes review task, records comments and recommendations in MTS record	APD Review Team, SSC, and County Liaison complete their review task by providing their findings/comments in the MTS task record. NOTE: CDSS members of the APD Review Team provide their comments to the CDSS POC, who is tasked to enter the collective CDSS response in the MTS task record.	CDSS POC,  APD Coordinator  State APD Review Team  County Liaison  PO SSC for the County.	APD Package MTS record  APD Review Checklist (iManage #)	Completed MTS task records	10-business day clock continues.
1-13	Provide APD Status Report to Exec. Mgt.	State APD Review Team provides a weekly status report of the pending APDs to CDSS Executive management and PO management. The status report is discussed during the CWS/CMS Friday Morning Meeting.	APD Coordinator	MTS query on APD records	Weekly APD Status Report	
1-14	CDSS Exec. mgt. and PO mgt. review APD status report and provide direction on APDs escalated for their review/comments.	State APD Review Team provides a weekly status report on all pending APDs. Executive mgt. reviews status of pending APDs and provides direction where policy interpretation is needed to continue the review/approval process. Generally the status review is conducted during the CWS/CMS Friday Morning Meeting and facilitated by the M&O Assistant Deputy Director and CMS Branch Chief.	APD Coordinator  CDSS Executive management  PO management	County APD Weekly Status Report	Executive direction on pending APDs for the State APD Review Team	
1-15	Is additional county information necessary?	This is a decision marker in the flow chart driven by APD review findings. If no further information is required from the County proceed to Step 1-16 otherwise proceed to Step 1-17.	APD Coordinator	Completed MTS task records	None	N/A
1-16	No additional Information needed	If no further information is needed from the County then proceed to Step 2-1.	APD Coordinator	Completed MTS task records	None	10-business day clock continues.
1-17	First time returned?	This is a decision marker in the flow chart. If the APD is being returned to the county for the first time, proceed to Step 1-18 otherwise proceed to Step 1-22	APD Coordinator	Completed MTS task records	None	N/A

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
1-18	Send Email requesting additional county information	An Email is drafted requesting the specific additional information or clarifications required; the Email is not subject to Team review or collaboration. The Email is sent to the County POC from the APD Coordinator's mailbox.  The MTS record subcategory is changed to "county response" and a MTS task, titled "Waiting Response from County" to provide a means to query for APDs awaiting county action before State review can resume.	APD Coordinator	Completed MTS task records	Email  New MTS task	N/A
1-19	County corrects APD	The county prepares the response to the State's request for information.	County Staff	State Email request for more APD information	County's corrected APD or additional information needed to proceed with State's review	N/A
1-20	County transmits State requested information	County submits corrected APD or additional information to the PO APD Coordinator. County submission is through Email to one of three mailboxes.	County Staff	APD corrections or additional information	County Email containing the requested information/ corrections	N/A
1-21	APD Coordinator processes information received	APD Coordinator receives the County's corrected APD or additional information and enters response information in MTS and iManage. Proceed to Step 1-11.	APD Coordinator	APD corrections or additional information.	Updated MTS record  Additional iManage documents or new versions	10-business day review clock start again.
1-22	Set up a conference call with County	APD Coordinator schedules a conference call with County Staff through the County APD POC who coordinates attendance of key county staff	County APD POC  APD Coordinator			10-business day clock restarts.

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
1-23	Conduct conference call with County	This occurs when additional questions result from the State's second (or subsequent) review round, resulting in the need for further clarification or additional information from the County. This method of communication provides county staff from multiple functional units (IT, Fiscal, Program) to collaborate and provide the State with the required APD information. Go to Step 1-19.	County Staff  State Review Team  State Management (as needed)	APD corrections or additional information.	Clarification resolving issues raised during State's second review  Clarification to County Staff who then prepare and submit APD corrections to the State  APD County conference call meeting minutes	
2-1	Can the APD be approved by the State?	This step is a decision marker in the process documentation. Through the State APD Review Team, CDSS either approves or denies the County APD and determines if the APD needs ACF review/approval. If the APD cannot be approved proceed to Step 2-2, otherwise proceed to Step 2-13.	State APD Review Team  PO Managers	MTS record  Updated APD Package	Denial decision or progression to step 2-13	10-business day clock continues.
2-2	Draft denial letter	Draft a Denial Letter. Review is to determine if reasons for denial are accurately stated.	APD Coordinator	CDSS denial decision PO findings for County action  APD Denial Letter Template	Draft denial letter,v1  MTS tasks	10-business day clock continues.
2-3	Route for approval	Open new MTS task records for CDSS POC and PO Review Team to review /approve denial letter.	APD Coordinator	Draft denial letter, v1	MTS tasks	10-business day clock continues.
2-4	Reviewers complete their MTS review tasks	Reviewers will amend the Denial Letter as necessary. Changes are either Emailed to APD Coordinator or entered in the MTS task record.	State APD Review Team	Draft denial letter, v1	Corrected denial letter sent through Email  Closed MTS tasks	10-business day clock continues.

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
2-5	Denial Letter Correct?	If denial letter is correct go to Step 2-7 otherwise go to Step 2-6.	APD Coordinator	Review findings on the draft denial letter	Approved draft denial letter, or Un-incorporated review comments	10-business day clock continues.
2-6	Correct Denial Letter	Incorporate review comments and corrections into the draft Denial Letter. Go to Step 2-3.	APD Coordinator	Denial letter corrections and comments	Draft denial letter, version 2	10-business day clock continues.
2-7	Forward finalized letter to Admin Manager for signature	The finalized Denial Letter is packaged for the Admin. Manager's signature	APD Coordinator	Denial letter	Finalized denial letter	10-business day clock continues.
2-8	Admin. Manager signs denial letter	The Admin. Manager signature finalizes the denial letter.	PO Admin Manager	Unsigned denial letter.	Signed denial letter	10-business day clock continues.
2-9	Process finalized denial letter	Signed denial letter is scanned into iManage, faxed, and mailed to the County; courtesy and blind copies are distributed.	APD Coordinator	Signed denial letter	Denial letter transmitted to County  Finalized letter saved into iManage and distributed	10-business day clock continues.
2-10	Complete administrative tasks to close APD process tracking	MTS record is updated to include all comments leading to the final State decision, attach denial letter, and close the MTS record.	APD Coordinator	Signed Denial Letter  MTS record	Closed APD request	10-business day clock continues.
2-11	County receipt of denial letter	County receives the APD denial letter from the State	County Staff	Signed denial letter	End of Process.	10-business day clock ends, if ACF APD 60 calendar day clock ends.
2-12	End of APD Process					
2-13	Is ACF approval required?	ACF approval is <u>required</u> if the APD is ? ≥\$100,000 and SACWIS, or ? ≥\$1,000,000 and non-competitive bid, or ? ≥\$5,000,000 and non-SACWIS, go to Step 15.  If the APD does not fall into these parameters, go to Step 2-14.	State APD Review Team	Complete and reviewed APD package  State APD guidelines.	Next process steps	10-business day clock continues.
2-14	Go to Step 3-1	Go to Page 3, Step 3-1				

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
2-15	Modified APD Title	County APD document is modified by changing references to "APD" to "As-Needed APD". Changes pertain to the county APD cover sheet only. No other content changes are made to the county APD.  Modified document is saved as a new iManage version to the County APD.	APD Coordinator	State approved APD packet	State approved As-Needed APD packet	10-business day clock continues.
2-16	Draft ACF transmittal letter	Draft ACF transmittal letter for the As-Needed APD	APD Coordinator	As-Needed APD Packet  ACF transmittal letter template	Draft ACF transmittal letter	10-business day clock continues.
2-17	Route transmittal letter for review/approval	APD Coordinator assigns, via MTS tasks, the review/approval of the transmittal letter to the State APD Review Team	APD Coordinator	As-Needed APD Packet  ACF transmittal letter template  MTS record	MTS tasks	
2-18	Review ACF transmittal letter and As-needed APD packet	APD Review Team reviews for approval the ACF transmittal letter and As-Needed APD packet and completes their MTS task record.	APD Review Team	ACF transmittal letter and As-Needed APD packet	As-Needed APD packet  ACF transmittal letter  Completed MTS task recording review outcome	10-business day clock continues.
2-19	Are Corrections Needed?	This step is a decision marker in the process documentation. If corrections need to be made to the ACF transmittal letter or As-Needed APD packet, go to Step 2-20, otherwise Go to Step 2-21	APD Review Team	ACF As-Needed APD packet  ACF transmittal letter  Completed MTS task	Next process step determined	10-business day clock continues.

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
2-20	Correct ACF transmittal letter and/or As-Needed APD packet	Correct documents by incorporating comments from the APD Review Team and re-tasks State APD Review Team to re-review documents. Go to Step 2-17	APD Coordinator	ACF As-Needed APD packet  ACF transmittal letter  Completed MTS task records	Corrected ACF transmittal letter and As-Needed APD packet  MTS tasks	10-business day clock continues.
2-21	Prepare As-Needed APD packet for PO management review	APD Coordinator prepares a routing packet for the As-Needed APD and ACF transmittal letter	APD Coordinator	ACF As-Needed APD packet  ACF transmittal letter  PO approval routing slip template	PO approval routing packet	
2-22	PO management reviews As-Needed APD packet and transmittal letter	PO Management reviews the ACF transmittal letter and As-Needed APD and, if needed, provides corrective comments on the hardcopy or PO approval routing slip returning the approval routing packet to APD Coordinator	PO management (Deputy Director, Assistant Deputy Director for M&O, App. Support Services Manager, Senior Project Manager for QA/V&V)	PO approval routing packet	Reviewed approval routing packet  Completed approval routing slip	10-business day clock continues.
2-23	Are corrections needed?	This step is a decision marker in the process documentation. If corrections are made on the document hardcopy go to Step 2-24, otherwise go to Step 2-25	APD Coordinator	Reviewed approval routing packet  Completed approval routing slip		10-business day clock continues.
2-24	Correct ACF transmittal letter and As-Needed APD	Correct ACF transmittal letter and As-Needed APD packet incorporating comments from the PO management and re-submit for PO management review, go to Step 2-22	APD Coordinator	Reviewed approval routing packet  Completed approval routing slip	Corrected ACF transmittal letter  Corrected As-Needed APD packet  Routing packet with new approval routing slip	10-business day clock continues.

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
2-25	Forward to PO Admin. Support Staff	<p>Hardcopies of the transmittal letter and the completed routing slip are passed to Admin. Support staff.</p> <p>The APD coordinator Emails the transmittal letter and As-Needed APD packet to PO Admin. Support staff. The APD coordinator retains the hardcopy collection.</p>	<p>PO APD Coordinator</p> <p>PO Admin. Support staff</p>	<p>Approved ACF transmittal letter</p> <p>Approved As-Needed APD packet</p> <p>Completed approval routing slip</p>	<p>Hardcopy of ACF transmittal letter and approval routing slip</p> <p>Email with ACF transmittal letter and As-Needed APD packet</p>	10-business day clock continues.
2-26	Forward transmittal letter, routing slip and As-Needed APD packet to CDSS	<p>Admin. Support staff faxes the transmittal letter and completed routing slip to the CMS Branch.</p> <p>The electronic copy of the transmittal letter and the As-Needed APD packet is Emailed to the CMS Support Branch Administrative secretary.</p> <p>PO Administrative Support logs the out-going document and tracks it in Outlook for its completion.</p>	<p>PO Admin. Support staff</p> <p>CDSS CMS Branch secretary</p>	<p>Hardcopy of ACF transmittal letter and PO Approval Routing Slip</p> <p>Email with ACF transmittal letter and As-Needed APD packet</p> <p>Correspondence Control Log</p>	<p>Fax to CDSS</p> <p>Email to CDSS</p> <p>Outgoing Correspondence Log entry</p> <p>Outlook tracking entry</p>	
2-27	PO completion of the ACF transmittal letter and As-Needed APD	PO Process complete. Go to Step 4-1.				
3-1	Draft conditional approval letter	Draft conditional approval letter.	APD Coordinator	<p>Approval decision from State APD Review Team</p> <p>APD approval letter template</p>	Conditional approval letter	10-business day clock continues.
3-2	Route for approval	APD Coordinator assigns review/approval tasks to State APD Review Team	APD Coordinator	<p>MTS record</p> <p>Conditional approval letter</p>	MTS tasks	10-business day clock continues.

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
3-3	State APD Review Team completed review tasks	Reviewers complete their MTS task noting corrections in their task record.	State APD Review Team	MTS task  Conditional approval letter	Review findings recorded in MTS tasks  Closed MTS tasks	10-business day clock continues.
3-4	Are corrections needed?	This step is a decision marker in the process documentation.  If corrections are needed, go to Step 3-5, otherwise go to Step 3-6.	State APD Review Team	MTS record	Next process step determined	10-business day clock continues.
3-5	Correct Draft Conditional Approval Letter	Correct conditional approval letter by incorporating State APD Review Team findings. Go to step 3-2.	APD Coordinator	MTS record	Corrected conditional approval letter	10-business day clock continues.
3-6	Forward finalized letter to Admin Manager for signature	The finalized conditional approval letter is packaged for the Admin. Manager's signature.	APD Coordinator	Corrected conditional approval letter  County APD packet	Finalized conditional approval letter  County APD packet	10-business day clock continues.
3-7	Admin Manager signs conditional approval letter	The Admin. Manager signs the conditional approval letter and returns it to APD Coordinator.	PO Admin. Manager	Finalized conditional approval letter  County APD packet	Signed conditional approval letter  County APD packet	10-business day clock continues.
3-8	Process mail-out of the conditional approval letter	Signed conditional approval letter is scanned into iManage, faxed and mailed to the County; courtesy and blind copies are distributed. The APD coordinator makes a courtesy call to the County advising of them of the APD approval status.	APD Coordinator	Signed conditional approval letter	None	10-business day clock ends, if ACF APD 60 calendar day clock ends.
3-9	Update MTS record and open a MTS task to track the Completion Report	Update MTS Task and set a "review date" for 60 Calendar days; this task serves to remind the APD Coordinator to check for the Completion Report.	APD Coordinator	N/A	MTS task	N/A
3-10	County Receives Conditional Approval Letter	County Receives Conditional Approval Letter from PO APD Coordinator.	County	Signed Conditional Approval Letter	N/A	N/A
3-11	End of APD Conditional Approval Process					



Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
4-1	CDSS receives ACF transmittal letter and As-Needed APD packet	CDSS CMS Branch secretary receives ACF transmittal letter and As-Needed APD packet and prepares the review/approval packet for Executive Management's review.	CDSS CMS Branch Admin. Staff	Draft ACF transmittal letter (hardcopy and electronic)  As Needed APD packet (electronic)  Faxed copy of the completed PO approval routing slip	CDSS review/approval packet  CDSS routing slip	10-day business clock continues.
4-2	CDSS Exec. Management Review	CDSS Executive Management reviews ACF transmittal letter and As-Needed APD packet to insure it is complete and ready for ACF submission	CDSS Executive Management	CDSS review/approval packet  CDSS routing slip	Approval decision or review comments  Completed CDSS Routing Slip	10-business day clock continues.
4-3	ACF transmittal letter and As-Needed APD approved for ACF Review?	This step is a decision marker in the process documentation.  If CDSS has comments and corrections go to Step 4-4, otherwise go to Step 4-8	CDSS CMS Branch Secretary	Approval decision or review comments in the CDSS review/approval packet  Completed CDSS Routing Slip		10-business day clock continues.
4-4	ACF transmittal letter and As-Needed APD returned to CMS Branch	CDSS Executive Management returns the CDSS review/approval packet to the CMS Branch.	CDSS Executive Management  CDS CMS Branch Secretary	CDSS review/approval packet with comments and approval decision		

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
4-5	ACF transmittal letter and As-Needed APD packet returned to PO for corrections	ACF transmittal letter and As-Needed APD packet returned to APD Coordinator for corrections.	CDSS CMS Branch Secretary  APD Coordinator	CDSS Executive Management's review findings (track changes, Email or verbally from a conference call)  ACF transmittal letter  As-Needed APD packet		N/A
4-6	Correct ACF transmittal letter and/or As-Needed APD	PO APD Coordinator convenes the State APD Review Team and, if needed, PO management to determination how to proceed with corrective findings.	State APD Review Team  Project Office management	CDSS Executive Management review findings	Corrective strategy	N/A
4-7	Corrective Steps	After corrective strategy is provided by management, go to ? Step 2-20 if the transmittal letter needs corrections, or ? Step 1-22 if significant changes to the As-needed APD are needed	State APD Review Team	Corrective strategy		
4-8	Submit ACF transmittal letter and As-Needed APD to CFSD Deputy Director for approval	Package ACF transmittal letter and As-Needed APD for CDSS CFSD Deputy Director's final review	CMS Branch Admin. secretary	ACF transmittal letter  As-Needed APD package  Completed CDSS routing slip  Completed PO routing slip	CDSS signature package	10-business day clock continues.

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
4-9	Obtain CDSS CFSD Deputy Director's Signature	CDSS CFSD Deputy Director or designee signs ACF transmittal letter and signs-off on CDSS approval sign-off sheet.	CDSS CFSD Deputy Director or designee	CDSS signature package	Signed ACF transmittal letter Approved As-Needed APD package  Sign-off on CDSS approval sign-off sheet	10-business day clock continues.
4-10	Process mail-out and distribution of ACF transmittal letter and As-Needed	CDSS electronically sends and mails ACF transmittal and enclosures to ACF, then completes courtesy copy and blind copy distribution.  Electronic distribution to blind copy recipients includes notification to PO ACF coordinator and PO librarian	CDSS CMS Branch Admin. Staff  ACF  ACF Coordinator  PO Librarian	Signed ACF transmittal letter As-Needed APD package  Sign-off on CDSS Approval Sign-off sheet	Signed ACF transmittal letter and enclosures (As-Needed APD package, etc.)	10-business day clock ends.
4-11	Notify APD Coordinator transmittal to ACF completed	PO ACF coordinator sends Email to the APD Coordinator (following PO process on ACF/CDSS correspondence) that the ACF transmittal has been completed and provides the iManage location of final documents.	PO ACF Coordinator  APD Coordinator	Signed finalized ACF transmittal letter and enclosures (As-Needed APD package, etc.)	Signed ACF transmittal letter saved in iManage as new version to draft  New version number for As-Needed APD package if additional changes made by CDSS	N/A
4-12	Update MTS record	APD Coordinator opens a new MTS task "Waiting ACF" and changes MTS record subcategory to ACF.	APD Coordinator	MTS record	MTS task	
4-13	Notify County via Email that APD forwarded to ACF	Notify the County via Email that the APD has been forwarded to ACF for review and approval.	APD Coordinator	Signed ACF Cover Ltr/AN-APDU for ACF approval	Email saved in iManage  Updated MTS record	N/A
4-14	Receive Email that APD was sent to ACF	The County receives the Email notification that the APD has been sent to ACF for approval.	County Staff	Email	Email	N/A

Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
4-15	CDSS Executive Approval Process Ends	CDSS Executive Approval Process ends Go to Step 5-1				
5-1	Receive and Review State's transmittal letter and As-Needed APD	ACF receives and reviews the State's transmittal letter and As-Needed APD	ACF	State transmittal letter As-Needed APD	N/A	60- calendar day clock starts.
5-2	Is State's transmittal letter request and As-Needed APD approved?	This is a decision point for approval or denial of the State's request to approve the As-Needed APD.  If approved go to Step 5-16; if not approved, go to Step 5-3.	ACF	State transmittal letter As-Needed APD	ACF analysis	60- calendar day clock continues.
5-3	ACF sends denial letter to CDSS	ACF sends its denial letter and enclosure detailing its decision	ACF	ACF analysis	Denial letter and enclosure	60- calendar day clock stops.
5-4	CDSS receives ACF denial letter and enclosure	CDSS receives ACF denial letter and enclosure	CDSS CMS Branch	ACF denial letter and enclosure	N/A	N/A
5-5	CDSS Forwards to PO ACF Coordinator	CDSS electronically distributes the ACF letter and enclosure to the PO ACF coordinator, PO librarian, and PO Admin. Support Mailbox.  PO Admin. Support staff logs receipt of correspondence.	CDSS CMS Branch Admin. Staff  PO ACF Coordinator  PO Admin. Support mailbox	ACF Denial Letter & Comments and Corrections.	N/A	N/A
5-6	PO ACF Coordinator notifies PO APD Coordinator that ACF's response received.	PO ACF coordinator sends Email to the PO APD Coordinator (following PO process on ACF/CDSS correspondence) that the ACF response has been received and provides the iManage location for the document.	APD Coordinator  PO ACF Coordinator  PO Librarian	ACF Denial Letter & Comments Enclosure	ACF Denial Letter iManage # Enclosure iManage #	N/A

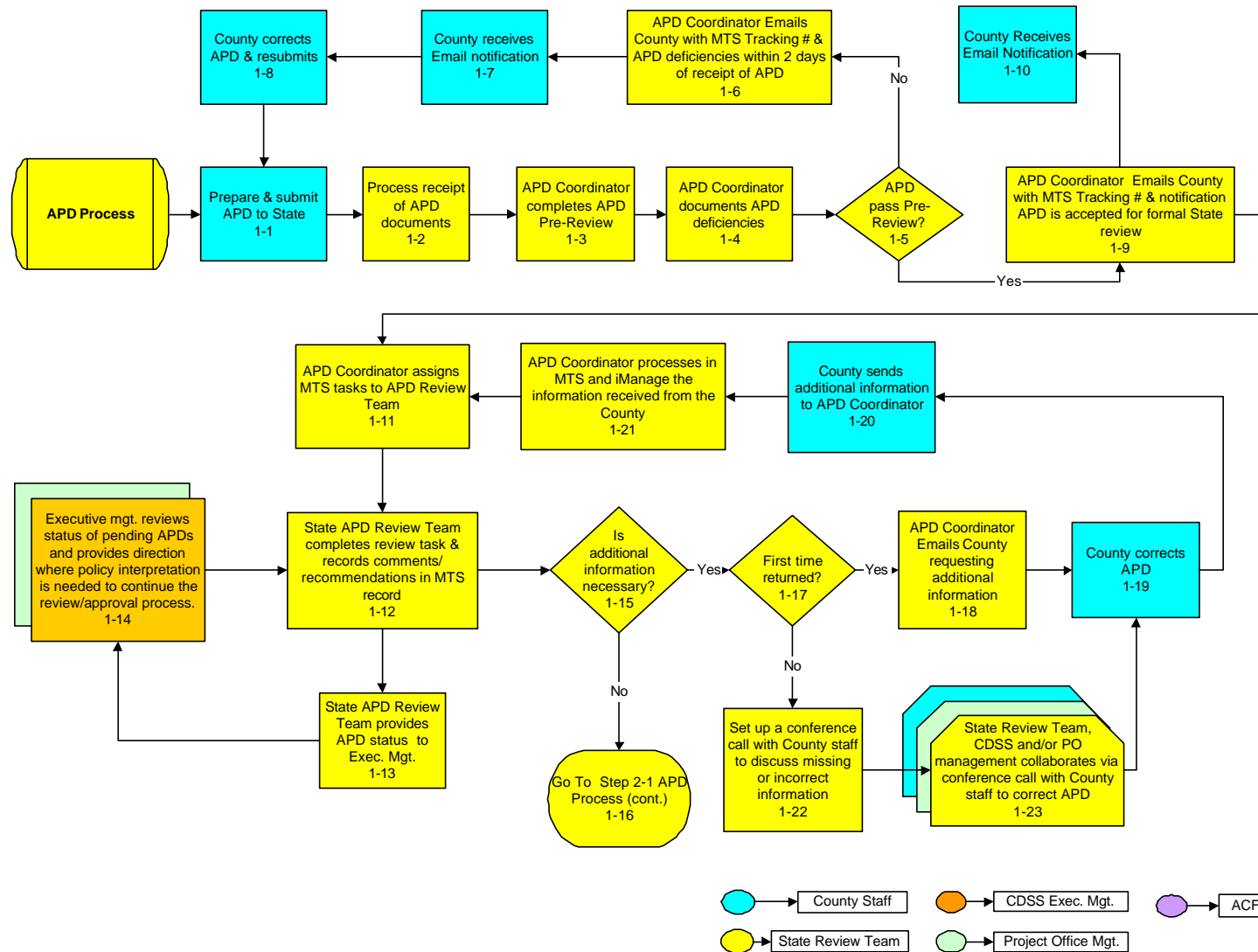
Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
5-7	Can the State appeal ACF's decision?	The CDSS Executive Management and PO management discusses solutions and response strategy. The CMS Branch chief conveys to the State APD Review Team the decisions reached. The CMS Branch manager may direct the State Review Team to contact the County, via conference call, to discuss the ACF findings and assign tasks to develop the response.	CDSS Executive Management  CDSS CMS Branch  PO Management	ACF Denial Letter and enclosure	Solution strategy  Tasks to develop responses to the ACF issues/concerns noted in the enclosure	N/A
5-8	Next Steps for State based upon ACF's decision	If the State cannot respond to ACF's denial or issues, go to Step 2-2 to process the denial letter, otherwise go to Step 5-9.	CDSS Executive Management  CDSS CMS Branch  PO Senior Management	Solution strategy		
5-9	Email notification to County	APD Coordinator notifies the County, via Email, that ACF has denied their APD and that a future conference call will be scheduled to discuss appeal strategy.	APD Coordinator	Email		
5-10	County receives Email	County receives PO Email notifying them of the APD deficiencies found by ACF	County Staff	Email		
5-11	Schedule County conference call	PO APD Coordinator schedules County conference call	APD Coordinator		Scheduled conference call	
5-12	Outline APD corrective plan	The State APD Review Team conducts a conference call with County staff. PO management may participate. The purpose of the call is to discuss and implement the response strategy developed by Executive management, which addresses the deficiencies identified by ACF.  The subsequent process steps are dependent upon the complexity of the ACF issues. Go to step 5-9 if response issues are minor; go to step 5-13 if response issues are significant and require the County to re-submit a new version of the APD.	State APD Review Team  PO management  County Staff	ACF Denial Letter & Comments & Corrections  Methodology to correct APD Deficiencies	Strategy to respond to deficiencies documented by ACF	N/A

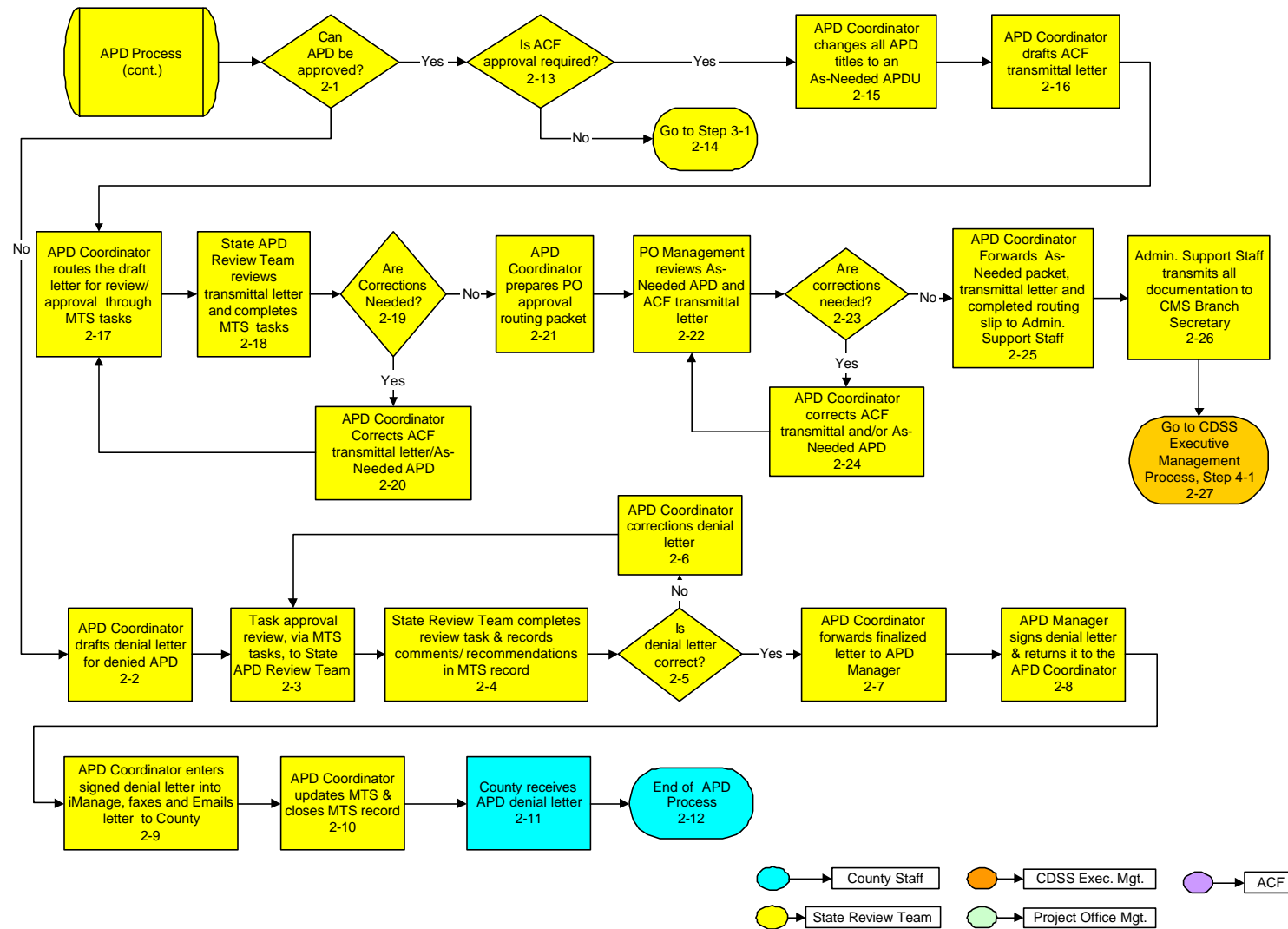
Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
5-13	Assign tasks to correct APD	ACF issues may require a variety of responses requiring County only response, State only response, or both County and State responses.  If County only response is required to resolve the issue, go to Step 5-15.  If both County and State responses are required, go to Step 5-14.	State APD Review Team  PO management  County Staff	ACF Denial Letter & Comments & Corrections  Methodology to correct APD Deficiencies	County only response tasks  State only response tasks  County & State response tasks	
5-14	Assign tasks to correct APD	If State only response is required to resolve the issue, go to Step 5-16.  If both County and State responses are required, go to Steps 5-15 and 5-16.				
5-15	County corrects APD deficiencies	County staff completes activities outlined in the APD Correction Conference Call and submits its response to the State. Go to Step 1-19	County staff	Correction Action Plan defined in the APD Correction Conference Call	Email transmitting Corrections to deficiencies identified by ACF	
5-16	State corrects APD deficiencies	APD Coordinator assigns MTS tasks to the State APD Review Team based on the action plan discussed during the conference call. Go to Step 1-11.	State APD Review Team  APD Coordinator	Correction Action Plan defined in the APD Correction Conference Call	MTS tasks	
5-17	ACF sends the approval letter to CDSS	ACF transmits the approval letter to CDSS.	ACF	ACF analysis	ACF approval letter	60-calendar day clock continues.
5-18	CDSS forwards approval letter to the PO	CDSS electronically transmits the ACF approval letter to the PO ACF Coordinator for distribution to PO management and key staff.	CDSS CMS Branch Admin. staff  PO ACF Coordinator  PO Librarian	ACF approval letter	ACF approval letter	60-calendar day clock continues.

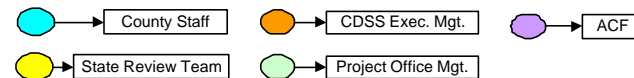
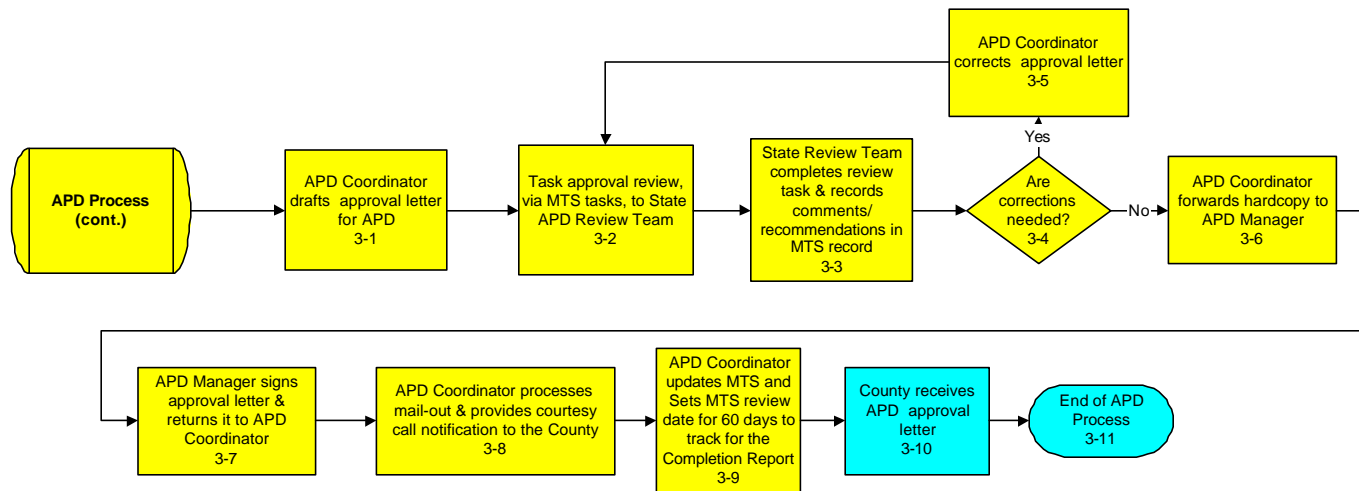
Activity Description						
#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
5-19	PO ACF Coordinator notifies PO APD Coordinator that ACF's response is received.	PO ACF coordinator notifies the APD Coordinator (following PO process on ACF/CDSS correspondence) that the ACF response has been received and provides the iManage location for the document.	PO ACF Coordinator APD Coordinator	ACF approval letter	ACF approval letter	60-calendar day clock continues.
5-20	Approval status is communicated to the County	The APD Coordinator proceeds with the process to notify the County. Go to Step 3-1.	APD Coordinator	ACF approval letter		

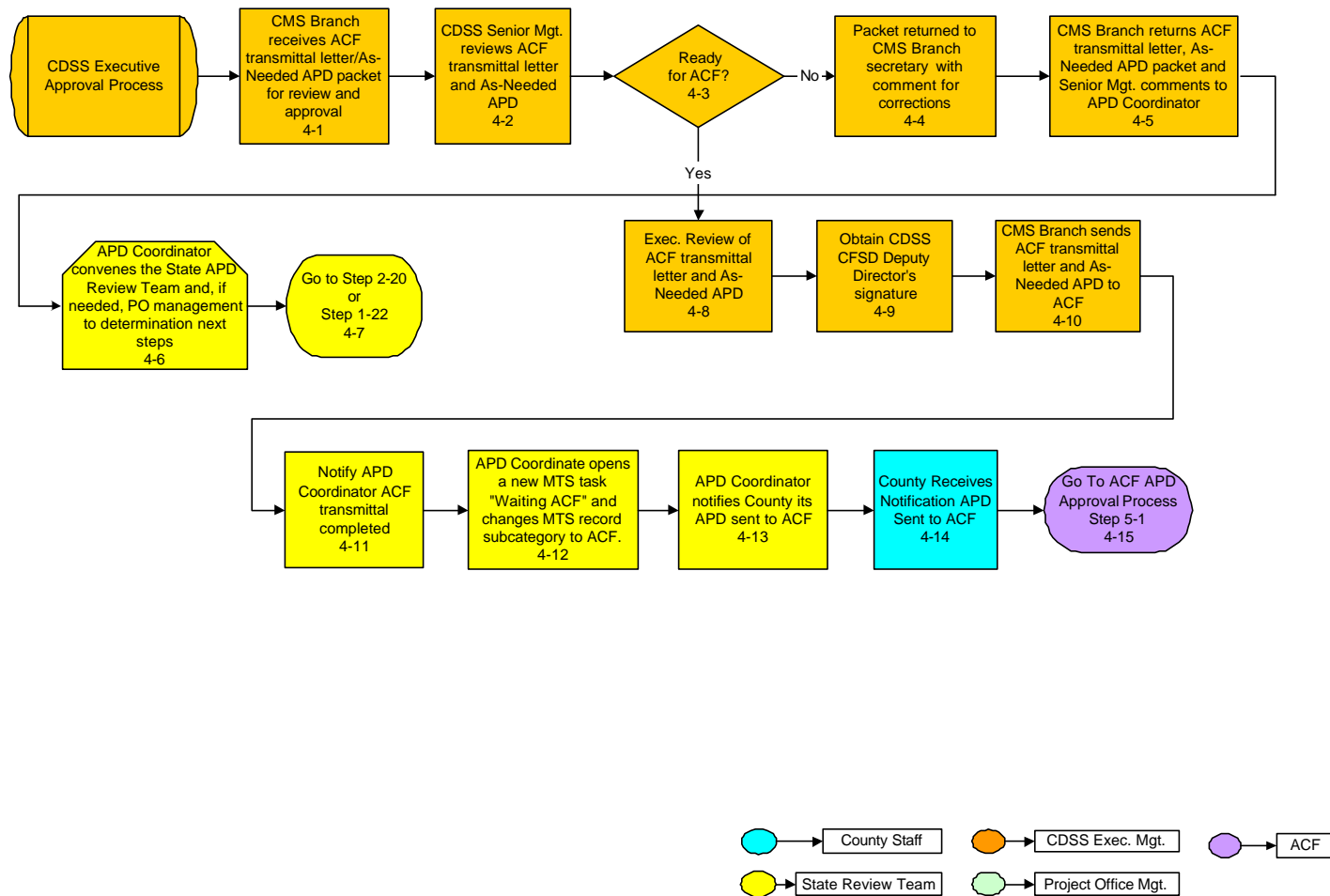
## **Appendix C: Reengineered County APD Review and Approval Process Flow Chart**

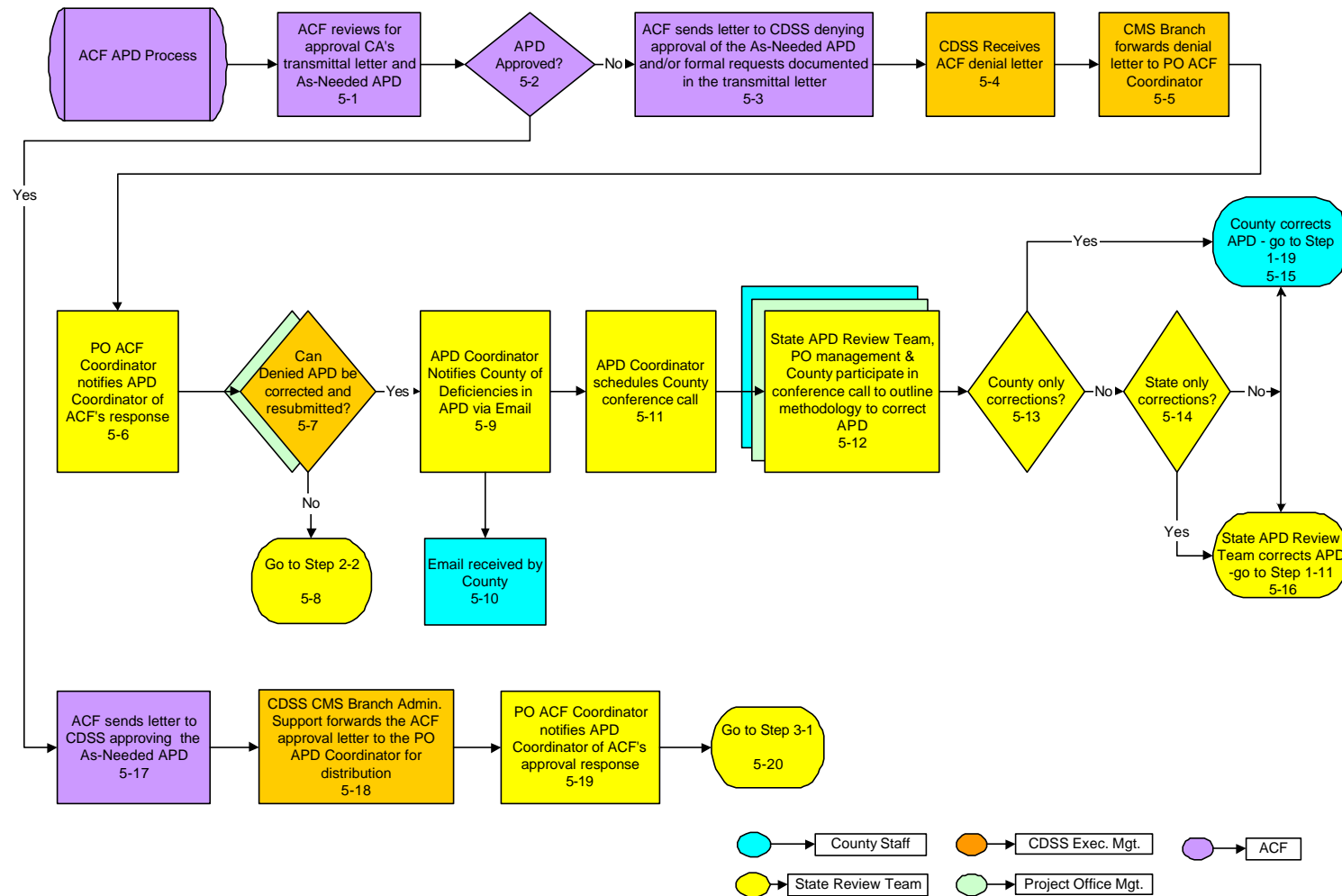












## **Appendix D: Reengineered County APD Review and Approval Process Flow Description**

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
1-1	County prepares and submits APD.	Counties must submit an Advance Planning Document (APD) to request funds for electronic data processing (EDP) goods and/or services related to the Child Welfare Services / Case Management System (CWS/CMS). The APDs must satisfy Division 28 of the California Department of Social Services Manual of Policies and Procedures, APD/Move Add Change (MAC) guidelines, and the code of federal regulations (45 CFR). The APD guidelines are available online at <a href="http://www.hwcws.cahwnet.gov/forms/">http://www.hwcws.cahwnet.gov/forms/</a> . The APD is a written document and should be created in MS Word that includes eight predefined sections. The document is typically submitted via Email.	County staff	State: Division 28 and APD/MAC Guidelines  Federal: 45 Code of Federal Regulations (CFR) 74.44(e)(2) and 95.611  County: CWS/CMS EDP requirements.	APD document with required supporting documents	N/A
1-2	Process receipt of the County APD documents	<p>Upon receipt by the State, staff processes all County APD documentation assigning a unique document management ID (iManage number), opening a MTS record to track all review activities, link the iManage documents to MTS, and assign a six-digit tracking number to track activity related to the APD until its final status is reached. The tracking number is entered into the PO APD Tracking Log. The tracking number follows the following format:            Digits 1-2 denotes county ID            Digits 3-6 represent the MTS record number.            NOTE: If the received APD is a re-submission, the existing MTS record is updated and the same APD tracking number is used.</p> <p>The APD Coordinator constructs a hardcopy folder to manage all APD documentation; this folder contains both documents that will later be stored in the Project Library and those that are utilized only as working copies.</p> <p>A MTS task is assigned to the APD Lead to perform the APD pre-review.</p>	APD Coordinator	<p>County APD package (APD and supporting documents)</p> <p>Folder coversheet</p>	<p>Documents saved in iManage</p> <p>New or updated MTS record</p> <p>Updated APD Tracking Number Log</p> <p>Hardcopy collection of the APD package and complied review/approval documentation</p> <p>MTS task</p>	Within 2 business days of APDs receipt by the State

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
New 1-3	Conduct the Pre-Review on the APD Packet	The APD is analyzed to ensure all required sections meet the basic State APD standards. The APD Lead documents findings in the State APD Pre-Review Checklist during this analysis.	APD Lead	State APD Pre-Review Checklist template	Completed State APD Pre-Review Checklist with documented findings saved in iManage  Updated MTS record	Within 2 business days of APDs receipt by the State
New 1-4	Document APD deficiencies	The pre-review deficiency findings are recorded in the State APD Pre-Review Checklist	APD Lead	State APD Pre-Review Checklist template	Completed State APD Pre-Review Checklist  Updated MTS record	Within 2 business days of APDs receipt by the State
New 1-5	Does the APD pass Pre-Review?	If the APD package passes the Pre-Review checklist then proceed to Step 1-9. If the APD package is not satisfactory then proceed to Step 1-6.  Note: the APD must pass the initial Pre-Review Checklist before the clock starts on the State's review of the APD.	APD Lead	Completed State APD Pre-Review Checklist	Next Process steps	Within 2 business days of APDs receipt by the State
New 1-6	Notify the County its APD is incomplete	A copy of the State APD Pre-Review Checklist is Emailed to the County from the APD/MACPRO Exchange box.	APD Coordinator	Completed State APD Pre-Review Checklist  MTS record updated	Email with findings attachment	Within 2 business days of APDs receipt by the State
New 1-7	County receives Email that the APD is incomplete	The County receives notification its APD is deficient and must be corrected before the State's approval review commences.	County Staff	Email with findings attachment	None	N/A
New 1-8	County Corrects APD	County corrects APD and re-submits. Return to Step 1-1	County Staff	Email with findings attachment	Corrected APD documentation	N/A
New 1-9	Email to County acknowledging acceptance of APD for State review	An Email is sent to county acknowledging the State's receipt of the APD package and the start of the formal State Review Process. A PDF copy of the State APD Pre-Review Checklist is attached. The county is reminded to use the APD tracking number in all future correspondence on the pending APD.	APD Coordinator	MTS record  Completed State APD Pre-Review Checklist	Email with findings attachment	Within 2-business days of receipt of APD.
New 1-10	Email received by County	The County receives the Email notification that its submitted APD is undergoing State review for approval.	County Staff	Email with findings attachment		
New 1-11	Assign review tasks to APD Review Team	APD review tasks are assigned through MTS task records. The CDSS POC is advised all APD documents will be provided to CDSS via Email transmission.	APD Coordinator	All APD package documents entered into iManage	Email with entire APD package attached.	10-business day review clock starts.



#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
		<p>Required MTS tasks are created for the following State APD Review Team members:</p> <ul style="list-style-type: none"> <li>? CDSS Point of Contact (POC)</li> <li>? APD Lead</li> <li>? QA</li> </ul> <p>During the Pre-Review analysis, the APD Lead identified additional SME review on the APD. The APD Coordinator will assign MTS tasks accordingly. Optional SME review will be based on the following criteria:</p> <ul style="list-style-type: none"> <li>? APDs for hardware are reviewed by PO Operations SME</li> <li>? APDs involving the Application are reviewed by PO Application manager</li> <li>? APDs that reference contract terms and conditions are reviewed by Legal Counsel</li> </ul> <p>The CDSS POC is responsible for tasking review assignments to the CDSS staff assigned to the State APD Review Team. These CDSS members are: CMS Branch Admin. manager, CDSS County consultant, CMS APD analyst, CDSS Fiscal SME and the CMS Branch chief. Additionally, the CDSS POC will make the APD documents available to CDSS staff.</p>		<p>MTS record</p> <p>State APD Review Checklist template</p>	<p>MTS tasks for all reviewers</p> <p>State APD Review Checklist</p>	
New 1-12	State APD Review Team completes review tasks	<p>State APD Review Team completes their review tasks and records findings in the State APD Review Checklist. NOTE: CDSS members of the APD Review Team provide their comments to the CDSS POC, who is tasked to enter the collective CDSS response in the State APD Review Checklist.</p>	State APD Review Team	<p>APD Package MTS task</p> <p>State APD Review Checklist</p>	<p>Completed MTS tasks</p> <p>Completed State APD Review Checklist</p>	10-business day clock continues.
New 1-13	Provide APD Status Report (from a MTS query) to Exec. Mgt.	The APD Coordinator will generate the weekly status report through a pre-defined MTS query.	APD Coordinator	MTS query on APD records	Weekly APD Status Report	
1-14	CDSS Exec. mgt. and PO mgt. review APD status report and provide direction on APDs escalated for their review/comments.	Executive mgt. reviews status of pending APDs and provides policy direction, as needed, for the State Review Team to continue the review/approval process. Generally the status review is conducted during the CWS/CMS Friday Morning Meeting and facilitated by the M&O Assistant Deputy Director and CMS Branch Chief.	<p>CDSS Executive management</p> <p>PO management</p>	County APD Weekly Status Report	Executive direction to State APD Review Team	

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
New 1-15	Is additional county information necessary?	This is a flow chart decision marker driven by APD review findings. If no further information is required from the County proceed to Step 1-16 otherwise proceed to Step 1-17.	APD Coordinator	Completed State Review Team Checklist	Updated MTS record	N/A
1-16	No additional Information needed	If no further information is needed from the County, then proceed to Step 2-1.	APD Coordinator			10-business day clock continues.
New 1-17	First time returned?	This is a decision marker in the flow chart. If the APD is being returned to the county for the first time, proceed to Step 1-18 otherwise proceed to Step 1-22. If the County waives its participation in a conference call, escalate to State manager.	APD Coordinator  State APD manager or CMS Branch Chief	MTS record	None	N/A
New 1-18	Send Email requesting additional county information	An Email is sent to the County transmitting the State APD Review Checklist. The Email is send from the APD/MACPRO Exchange box.  NOTE: The MTS record subcategory is changed to "county response" and a MTS task, titled "Waiting Response from County" to provide a means to query for APDs awaiting county action before State review can resume.	APD Coordinator	Completed State APD Review Checklist	Email with findings attachment  New MTS task	N/A
New 1-19	County corrects APD	The county prepares the response to the State's request for information.	County Staff	State Email with findings attachment	County's corrected APD or additional information needed to proceed with State's review	N/A
New 1-20	County transmits State requested information	County submits corrected APD or additional information to the APD Coordinator. County submission is to the APD/MACPRO mailbox.	County Staff	APD corrections or additional information	County Email containing the requested information/ corrections	N/A
1-21	APD Coordinator processes information received	APD Coordinator receives and processes the County's corrected APD or additional information. Proceed to Step 1-11.	APD Coordinator	APD corrections or additional information.	Updated MTS record  Additional iManage documents or new versions	10-business day review clock start again.
1-22	Set up a conference call with County	APD Coordinator schedules a conference call with County Staff through the County APD POC, who coordinates attendance of key county staff.	County APD POC  APD Coordinator	Outlook calendars	Scheduled conference call	10-business day clock restarts.

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
<b>New</b> 1-23	Conduct conference call with County	This occurs when additional questions result from the State's second (or subsequent) review cycles, resulting in the need for further clarification or additional information from the County. This method of communication provides county staff from multiple functional units (IT, Fiscal, Program) to collaborate and provide the State with the required APD information. Go to Step 1-19.	County Staff  State APD Review Team  State Management (as needed)	Completed State APD Review Checklist	Clarification on issues raised during the State's review  Documented, consolidated State review findings and State/County decisions for next actions	
2-1	Can the APD be approved by the State?	This step is a flow chart decision marker. Through the State APD Review Team, CDSS either approves or denies the County APD and determines if the APD needs ACF review/approval. If the APD cannot be approved proceed to Step 2-2, otherwise proceed to Step 2-13.	State APD Review Team  PO management	MTS record  Updated APD Package	Denial decision or progression to step 2-13	10-business day clock continues.
<b>New</b> 2-2	Draft denial letter	Draft a denial letter using the appropriate template.	APD Coordinator	CDSS denial decision  MTS record  APD denial letter template	Draft denial letter	10-business day clock continues.
2-3	Route for approval	Open new MTS tasks for CDSS POC and State APD Review Team to review /approve denial letter.	APD Coordinator	Draft denial letter  MTS record	MTS tasks	10-business day clock continues.
2-4	Reviewers complete their MTS review tasks	Reviewers will amend the denial letter as necessary. Changes are either Emailed to APD Coordinator or entered in the MTS task record.	State APD Review Team	Draft denial letter  MTS tasks	Corrected denial letter sent through Email  Closed MTS tasks	10-business day clock continues.
2-5	Denial letter correct?	If denial letter is correct go to Step 2-7 otherwise go to Step 2-6.	APD Coordinator	Review findings on the draft denial letter	Approved draft denial letter, or Un-incorporated review comments	10-business day clock continues.
2-6	Correct Denial Letter	Incorporate review comments and corrections into the draft denial letter. Go to Step 2-3.	APD Coordinator	Denial letter corrections and comments	Corrected draft denial letter	10-business day clock continues.

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
2-7	Forward finalized letter to APD manager for signature	The final denial letter draft is packaged for the APD manager's signature	APD Coordinator	Denial letter	Final denial letter draft	10-business day clock continues.
2-8	APD manager signs denial letter	The APD manager's signature finalizes the denial letter.	APD Manager	Final denial letter draft	Finalized denial letter	10-business day clock continues.
2-9	Process finalized denial letter	Signed denial letter is scanned into iManage, faxed and mailed to the County; courtesy and blind copies are distributed.	APD Coordinator	Finalized denial letter	Finalized denial letter transmitted to County  Finalized letter saved into iManage and distributed	10-business day clock continues.
2-10	Complete administrative tasks to close APD process tracking	MTS record is updated to include all comments leading to the final State decision, finalized denial letter linked, and the MTS record closed.	APD Coordinator	Signed Denial Letter  MTS record	Closed APD request	10-business day clock continues.
2-11	County receives the denial letter	County receives the finalized APD denial letter from the State	County Staff	Finalized denial letter	End of Process.	10-business day clock ends, if ACF APD 60 calendar clock ends.
2-12	End of APD Process					
2-13	Is ACF approval required?	ACF approval is required if the APD is ≥\$100,000 and SACWIS, or ≥\$1,000,000 and non-competitive bid, or ≥\$5,000,000 and non-SACWIS, go to Step 15.  If the APD does not fall into these parameters, go to Step 2-14.	State APD Review Team	Reviewed APD package  State APD guidelines.	Next process steps	10-business day clock continues.
2-14	Go to Step 3-1	Go to Page 3, Step 3-1				
2-15	Modified APD Title	County APD document is modified by changing references to "APD" to "As-Needed APD". Changes pertain to the county APD cover sheet only. No other content changes are made to the county APD.  Modified document is saved as a new iManage version to the original County APD.	APD Coordinator	State approved County APD packet	State As-Needed APD packet	10-business day clock continues.

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
New 2-16	Draft ACF transmittal letter	Draft ACF transmittal letter for the As-Needed APD using the appropriate template.	APD Coordinator	As-Needed APD Packet  ACF transmittal letter template	Draft ACF transmittal letter	10-business day clock continues.
2-17	Route transmittal letter for review/approval	APD Coordinator assigns, via MTS tasks, the review/approval of the transmittal letter and As-Needed APD packet to the State APD Review Team	APD Coordinator	As-Needed APD Packet  Draft ACF transmittal letter  MTS record	MTS tasks	
2-18	Review ACF transmittal letter and As-Needed APD packet	APD Review Team reviews for approval the ACF transmittal letter and As-Needed APD packet and completes their MTS task.	State APD Review Team	ACF transmittal letter  As-Needed APD packet	As-Needed APD packet  ACF transmittal letter  Completed MTS task	10-business day clock continues.
2-19	Are Corrections Needed?	This step is a decision marker in the process documentation. If corrections need to be made to the ACF transmittal letter or As-Needed APD packet, go to Step 2-20, otherwise go to Step 2-21	State APD Review Team	ACF As-Needed APD packet  ACF transmittal letter  Completed MTS task	Next process step determined	10-business day clock continues.
2-20	Correct ACF transmittal letter and/or As-Needed APD packet	Correct documents by incorporating comments from the State APD Review Team. Go to Step 2-17	APD Coordinator	ACF As-Needed APD packet  ACF transmittal letter  Completed MTS task records	Corrected ACF transmittal letter  Corrected As-Needed APD packet	10-business day clock continues.
2-21	Prepare As-Needed APD packet for PO management review	APD Coordinator prepares a PO approval routing packet for the As-Needed APD and ACF transmittal letter	APD Coordinator	ACF As-Needed APD packet  ACF transmittal letter  PO approval routing slip template	PO approval routing packet	

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
2-22	PO management reviews As-Needed APD packet and transmittal letter	PO management reviews the ACF transmittal letter and As-Needed APD and, if needed, provides corrective comments on the hardcopy or PO approval routing slip, then returns the approval routing packet to APD Coordinator	PO management (Deputy Director, Assistant Deputy Director for M&O, App. Support Services Manager, Senior Project Manager for QAV&V)	PO approval routing packet	Reviewed approval routing packet  Completed approval routing slip	10-business day clock continues.
2-23	Are corrections needed?	This step is a flow chart decision marker. If corrections are made on the document hardcopy go to Step 2-24, otherwise go to Step 2-25	APD Coordinator	Reviewed approval routing packet  Completed approval routing slip		10-business day clock continues.
2-24	Correct ACF transmittal letter and/or As-Needed APD	Correct ACF transmittal letter and/or As-Needed APD packet incorporating comments from PO management and re-submit for PO management review, go to Step 2-22	APD Coordinator	Reviewed approval routing packet  Completed approval routing slip	Corrected ACF transmittal letter  Corrected As-Needed APD packet  Routing packet with new approval routing slip	10-business day clock continues.
New 2-25	Forward to PO Admin. Support Staff	Provide Admin. Support staff with a hardcopy of the completed approval routing slip; the routing slip has been annotated with the iManage numbers for the transmittal letter and all documents that make up the As-Needed APDU packet.	APD Coordinator  PO Admin. Support staff	Completed PO approval routing slip	Hardcopy of the completed PO approval routing slip	10-business day clock continues.
New 2-26	Forward transmittal letter, completed PO approval routing slip and As-Needed APD packet to CDSS	Admin. Support staff faxes the transmittal letter and completed PO approval routing slip to the CMS Branch.  The electronic copy of the transmittal letter and the As-Needed APD packet is Emailed to the CMS Branch Admin. secretary.  PO Admin. Support logs the out-going document and tracks it for completion in Outlook.	PO Admin. Support staff  CDSS CMS Branch secretary	Copy of the completed PO approval routing slip  Correspondence Control Log	Fax to CDSS  Email to CDSS  Outgoing Correspondence Log entry  Outlook tracking entry	

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
2-27	PO completion of the ACF transmittal letter and As-Needed APD	PO Process complete. Go to Step 4-1.				
<b>New</b> 3-1	Draft approval letter	Draft approval letter using the appropriate template	APD Coordinator	Approval decision from State APD Review Team  MTS record  APD approval letter template	Draft approval letter	10-business day clock continues.
<b>New</b> 3-2	Route to QA for review/approval	APD Coordinator assigns MTS task to QA requesting review of the approval letter.	APD Coordinator	MTS record  Draft approval letter	MTS task	10-business day clock continues.
<b>New</b> 3-3	QA review	QA reviews draft approval letter	QA	MTS task  Draft approval letter	Review findings recorded in MTS task  Closed MTS task	10-business day clock continues.
3-4	Are corrections needed?	This step is a flow chart decision marker.  If corrections are needed, go to Step 3-5, otherwise go to Step 3-6.	State APD Review Team	MTS record	Next process step determined	10-business day clock continues.
<b>New</b> 3-4	Are corrections needed?	This step is a flow chart decision marker.  If corrections are needed, go to Step 3-5, otherwise go to Step 3-6.	QA	MTS record	Next process step determined	10-business day clock continues.
3-5	Correct draft Approval Letter	Correct draft approval letter by incorporating State APD Review findings. Go to step 3-2.	APD Coordinator	MTS record	Corrected draft approval letter	10-business day clock continues.
3-6	Forward draft approval letter to APD manager for signature	The draft approval letter is packaged for the APD manager's signature.	APD Coordinator	Draft approval letter  County APD packet	Draft approval letter  County APD packet	10-business day clock continues.
3-7	APD manager signs approval letter	The APD manager signs the approval letter and returns it to APD Coordinator.	APD manager	Draft approval letter  County APD packet	Finalized approval letter  County APD packet	10-business day clock continues.

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
3-8	Process mail-out of the approval letter	Finalized approval letter is scanned into iManage, faxed, and mailed to the County; courtesy and blind copies are distributed. The APD coordinator makes a courtesy call to the County advising of them of the APD approval status.	APD Coordinator	Finalized approval letter	None	10-business day clock continues.  If ACF APD 60 calendar clock ends.
3-9	Update MTS record and open a MTS task to track the Completion Report	Open a MTS task setting a "review date" for 60 Calendar days; this task serves to remind the APD Coordinator to check for the Completion Report.	APD Coordinator	MTS record	Updated MTS record  MTS task	N/A
3-10	County receives approval letter	County receives approval letter from APD Coordinator.	County staff	Signed approval letter	N/A	N/A
3-11	End of APD Approval Process					
4-1	CDSS receives ACF transmittal letter and As-Needed APD packet	CDSS CMS Branch secretary receives ACF transmittal letter and As-Needed APD packet and prepares the review/approval packet for Executive Management's review.	CDSS CMS Branch Admin. Staff	Draft ACF transmittal letter (hardcopy and electronic)  As Needed APD packet (electronic)  Faxed copy of the completed PO approval routing slip	CDSS review/approval packet  CDSS routing slip	10-business day clock continues.
4-2	CDSS Senior management review	CDSS Senior management reviews ACF transmittal letter and As-Needed APD packet to insure it is complete and ready for ACF submission	CDSS Senior management	CDSS review/approval packet  CDSS routing slip	Approval decision or review comments  Completed CDSS Routing Slip	10-business day clock continues.
4-3	ACF transmittal letter and As-Needed APD approved for ACF Review?	This step is a flow chart decision marker.  If CDSS has comments and corrections go to Step 4-4, otherwise go to Step 4-8	CMS Branch Secretary	Approval decision or review comments in the CDSS review/approval packet  Completed CDSS Routing Slip		10-business day clock continues.



#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
4-4	ACF transmittal letter and As-Needed APD returned to CMS Branch	CDSS Senior management returns the CDSS review/approval packet to the CMS Branch.	CDSS Senior management  CMS Branch Secretary	CDSS review/approval packet with comments and approval decision		
4-5	ACF transmittal letter and As-Needed APD packet returned to PO for corrections	ACF transmittal letter and As-Needed APD packet returned to APD Coordinator for corrections.	CMS Branch Secretary  APD Coordinator	CDSS review/approval packet with comments and approval decision	CDSS Senior management's review findings (track changes, Email or verbally from a conference call)  ACF transmittal letter  As-Needed APD packet	N/A
4-6	Correct ACF transmittal letter and/or As-Needed APD	APD Coordinator convenes the State APD Review Team and, if needed, PO management to determination how to proceed with CDSS corrective findings.	State APD Review Team  PO management	CDSS Senior management review findings	Corrective strategy	N/A
4-7	Corrective Steps	After corrective strategy is provided by management, go to ? Step 2-20 if the transmittal letter needs corrections, or ? Step 1-22 if significant changes to the As-needed APD are needed	State APD Review Team	Corrective strategy		
4-8	Submit ACF transmittal letter and As-Needed APD to CFSD Deputy Director for approval	Package ACF transmittal letter and As-Needed APD for CDSS CFSD Deputy Director's final review and signature	CMS Branch Admin. secretary	ACF transmittal letter  As-Needed APD package  Completed CDSS routing slip  Completed PO routing slip	CDSS signature package	10-business day clock continues.

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
4-9	Obtain CDSS CFSD Deputy Director's Signature	CDSS CFSD Deputy Director or designee signs ACF transmittal letter and signs-off on CDSS approval sign-off sheet.	CDSS CFSD Deputy Director or designee	CDSS signature package	Signed ACF transmittal letter Approved As-Needed APD package  Sign-off on CDSS approval sign-off sheet	10-business day clock continues.
4-10	Process mail-out and distribution of ACF transmittal letter and As-Needed	CDSS electronically sends and mails ACF transmittal and enclosures to ACF, then completes courtesy copy and blind copy distribution.  Electronic distribution to blind copy recipients includes notification to PO ACF coordinator and PO librarian	CDSS CMS Branch Admin. Staff  ACF  PO ACF Coordinator  PO Librarian	Signed ACF transmittal letter As-Needed APD package  Sign-off on CDSS Approval Sign-off sheet	Signed ACF transmittal letter and enclosures (As-Needed APD package, etc.)	10-business day clock ends.
4-11	Notify APD Coordinator transmittal to ACF completed	PO ACF coordinator sends Email to the APD Coordinator (following PO process on ACF/CDSS correspondence) that the ACF transmittal has been completed and provides the iManage location of final documents.	PO ACF Coordinator  APD Coordinator	Signed finalized ACF transmittal letter and enclosures (As-Needed APD package, etc.)	Signed ACF transmittal letter saved in iManage as new version to draft  New version number for As-Needed APD package if additional changes made by CDSS	N/A
4-12	Update MTS record	APD Coordinator opens a new MTS task "Waiting ACF" and changes MTS record subcategory to ACF.	APD Coordinator	MTS record	MTS task	
4-13	Notify County via Email that APD forwarded to ACF	Notify the County via Email that the As-Needed APD has been forwarded to ACF for review and approval.	APD Coordinator	Signed ACF transmittal letter  As-Needed APD	Email saved in iManage  Updated MTS record	N/A
4-14	Receive Email that APD was sent to ACF	The County receives the Email notification that the APD has been sent to ACF for approval.	County Staff	Email		N/A

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
4-15	CDSS Executive Approval Process Ends	CDSS Executive Approval Process ends Go to Step 5-1				
5-1	Receive and review State's transmittal letter and As-Needed APD	ACF receives and reviews the State's transmittal letter and As-Needed APD	ACF	State transmittal letter As-Needed APD	N/A	60-calendar day clock starts.
5-2	Is State's transmittal letter request and As-Needed APD approved?	This is a decision point for ACF's approval/denial of the State's submittal of the As-Needed APD and terms of the transmittal letter.  If approved go to Step 5-17; if not approved, go to Step 5-3.	ACF	State transmittal letter As-Needed APD	ACF analysis	60- calendar day clock continues.
5-3	ACF sends denial letter to CDSS	ACF transmits to CDSS its denial letter and enclosure detailing its decision	ACF	ACF analysis	Denial letter and enclosure	60 calendar day clock stops.
5-4	CDSS receives ACF denial letter and enclosure	CDSS receives ACF denial letter and enclosure	CMS Branch	ACF denial letter and enclosure	N/A	N/A
5-5	CDSS Forwards to PO ACF Coordinator	CDSS electronically distributes the ACF letter and enclosure to the PO ACF coordinator, PO librarian, and PO Admin. Support Mailbox.  PO Admin. Support staff logs receipt of correspondence.	CMS Branch Admin. Staff  PO ACF Coordinator  PO Librarian  PO Admin. Support mailbox	ACF Denial Letter & Comments and Corrections.	Email with attachments	N/A
5-6	PO ACF Coordinator notifies APD Coordinator that ACF's response received.	PO ACF coordinator sends Email to the PO APD Coordinator (following PO process on ACF/CDSS correspondence) that the ACF response has been received and provides the iManage location for the document.	APD Coordinator  PO ACF Coordinator	ACF Denial Letter & Comments Enclosure	ACF Denial Letter iManage # Enclosure iManage #  Updated MTS record	N/A

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
5-7	Can the State appeal ACF's decision?	The CDSS Executive Management and PO management discusses solutions and response strategy. The CMS Branch chief conveys to the State APD Review Team the decisions reached. The CMS Branch manager may direct the State Review Team to contact the County, via conference call, to discuss the ACF findings and/or assign tasks to develop the response.	CDSS Executive Management  CDSS CMS Branch  PO Management	ACF Denial Letter and enclosure	Solution strategy  Tasks to develop responses to the ACF issues/concerns noted in the enclosure	N/A
5-8	Next Steps for State based upon ACF's decision	If the State cannot respond to ACF's denial or issues, go to Step 2-2 to process the denial letter, otherwise go to Step 5-9.	CDSS Executive Management  CDSS CMS Branch  PO management	Solution strategy		
5-9	Email notification to County	APD Coordinator notifies the County, via Email, that ACF has denied their APD and that a future conference call will be scheduled to discuss appeal strategy.	APD Coordinator	Email	MTS record updated	
5-10	County receives Email	County receives PO Email notifying them of the APD deficiencies found by ACF	County Staff	Email		
5-11	Schedule County conference call	APD Coordinator schedules County conference call	APD Coordinator	Solution strategy	Scheduled conference call	
5-12	Outline APD corrective plan	The State APD Review Team conducts a conference call with County staff. PO management may participate. The purpose of the call is to discuss and implement the response strategy developed by Executive management.  The subsequent process steps are dependent upon the complexity of the ACF issues. Go to step 5-9 if response issues are minor; go to step 5-13 if response issues are significant and require the County to re-submit a new version of the APD.	State APD Review Team  PO management  County Staff	ACF Denial Letter & Comments & Corrections  Methodology to correct APD Deficiencies	Strategy to respond to deficiencies documented by ACF	N/A

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
5-13	Assign tasks to correct APD	ACF issues may require a variety of responses requiring County only response, State only response, or both County and State responses.  If County only response is required to resolve the issue, go to Step 5-15.  If both County and State responses are required, go to Step 5-14.	State APD Review Team  PO management  County Staff	ACF Denial Letter & Comments & Corrections  Methodology to correct APD Deficiencies	County only response tasks  State only response tasks  County & State response tasks	
5-14	Assign tasks to correct APD	If State only response is required to resolve the issue, go to Step 5-16.  If both County and State responses are required, go to Steps 5-15 and 5-16.				
5-15	County corrects APD deficiencies	County staff completes activities outlined in the APD Correction Conference Call and submits its response to the State. Go to Step 1-19	County staff	Correction Action Plan defined in the APD Correction Conference Call	Email transmitting Corrections to deficiencies identified by ACF	
5-16	State corrects APD deficiencies	APD Coordinator assigns MTS tasks to the State APD Review Team based on the action plan discussed during the conference call. Go to Step 1-11.	State APD Review Team  APD Coordinator	Correction Action Plan defined in the APD Correction Conference Call	MTS tasks	
5-17	ACF sends the approval letter to CDSS	ACF transmits the approval letter to CDSS.	ACF	ACF analysis	ACF approval letter	60-calendar day clock continues.
5-18	CDSS forwards approval letter	CDSS electronically transmits the ACF approval letter to the PO ACF Coordinator for distribution to PO management and key staff.	CMS Branch Admin. staff  PO ACF Coordinator  PO Librarian	ACF approval letter	ACF approval letter	60-calendar day clock continues.
5-19	PO ACF Coordinator notifies APD Coordinator that ACF's response is received.	PO ACF coordinator notifies the APD Coordinator (following PO process on ACF/CDSS correspondence) that the ACF response has been received and provides the iManage location for the document.	PO ACF Coordinator  APD Coordinator	ACF approval letter	ACF approval letter iManage location	60-calendar day clock continues.

#	Activity	Purpose/Description	Participant (s)	Input(s)	Output(s)	Service Level Agreement (SLA)
5-20	Approval status is communicated to the County	The APD Coordinator proceeds with the process to notify the County. Go to Step 3-1.	APD Coordinator	ACF approval letter		

## **Appendix E: Workshop Guide**

## **County APD Process Project Process Analysis Workshop Guide**

### **Workshop Purpose**

To gain an understanding of each Stakeholder group's vision for an improved County APD Process, and to understand the organization goals and process improvements needed to support that vision.

Identify key business process goals.

Identify specific business process problems.

Identify specific business process improvements.

### **Questions**

#### **Identify key business process goals**

1. What are the strengths of the current County APD Process?
2. What are the overarching business process goals that would improve the process? For example: improve the timeliness; define and document all business rules; improve APD process documentation.
  - What performance targets do you expect if the goal is realized?
3. What tools should be improved or added to support the business goals?

#### **Identify key business process problems**

With reference to the Process Flow Diagram, and the Process Id's used:

- What process or technical issues and challenges do you currently face?
  - What is the magnitude of the issue or problem (e.g. costs, time, inability to perform program mandate)?
  - What are the consequences if the issue/problem is not addressed?

#### **Identify specific business process improvements**

With reference to the Process Flow Diagram, and the Process Id's used:

- Which specific sub-processes should be improved and how?



## **Appendix F: Extract from the Stakeholder Consensus Document**

## **Section 2 - Stakeholder Agreement Areas**

This section documents those areas that each stakeholder group has independently stated are necessary for process improvement and support, and is a summary list of overall consensus agreements already confirmed. For more detail see Section 5, Combined Stakeholder Information Matrix.

### ***2.1 Create comprehensive and easy to understand APD guidelines for the Counties***

This will include an APD Guide document similar in format and level of content to the Department of Finance Feasibility Study Report Preparation Instructions document. The expected contents of each section of an APD will be described in a clear, concise, and unambiguous manner. The guide will also include a section that defines how to do the cost allocation of funds, similar in form and level of content to the Department of Finance Economic Analysis Workbook Package document. There will be downloadable templates for the APD document, in MS Word, and for the cost allocation workbook, in MS Excel, both of which will be available on the Web. The documentation will include descriptions of requirements for the several types of APDs, such as the simple scheduled replacement of equipment and the more complex and expensive projects to improve program delivery.

Every APD will include a sign off page (like the State FSR) that the appropriate county managers will sign to indicate that they are stating that the APD is compliant with State and Federal regulations, and the State APD submittal requirements. These sign offs will include management representatives from the business, fiscal, procurement, and IT areas. The format for the signoff page will be included in the APD template document.

In order to provide specific subject area support for the creation of APDs, the following documentation will also be created and made available on the Web.

- Work guides that describe the APD-specific Federal and State regulations and requirements, stated in layman terms.
- The ACF Checklist, with background documentation for each checklist item stated in layman's terms.
- An explanation of how the Counties need to explain the details of their procurements and submit the pertinent documents including examples of RFQs, RFPs, and model contracts that contain the necessary federal requirements.
- Publish a list of the single point(s) of contact (SPOC) for questions about each APD and procurement related subject area.
- An explanation of what qualifies as SACWIS project content.
- Actual examples of previously approved APDs will be provided on the Web site, and will be kept current to reflect current regulations and requirements.
- Actual examples of previously denied APDs will be provided on the Web site, along with the reasons for denial, and will be kept current to reflect current regulations and requirements.
- A frequently asked questions (FAQ) page, in "question and answer" format.
- Provide the counties the information to assist them in aligning their business schedules and processes with the State County APD Process.

All of the above documentation will be placed in a formal Change Control process, with appropriate document id's and version numbers, so that ad hoc informal changes to the process and requirements cannot be enforced or accepted. If there are errors encountered, or planned changes, the changes to the documentation will have to be formally documented, presented to a Change Control Board, and if approved used to create a new version of the documentation. When changes are made, the documentation users will be informed in a timely manner, so that they are aware of new regulations and requirements.

## ***2.2 Identify what the legal requirements are for County APDs***

In order to improve the understanding of the legal requirements for both State and County staff, more focused education on the subject using widely available resources (e.g. Web based; CBT) will be provided. The following supporting documentation will also be created and made available on the Web.

- Work guides that include the description of Federal and State regulations and requirements, expressed in layman's terms.
- An enhanced ACF Checklist, with the addition of background documentation for each checklist item expressed in layman's terms.
- A Legal Rulebook, which would contain the pertinent procurement rules expressed in layman's terms, and sample contractual language for use by counties to ensure their procurement contracts are compliant.

All of the above documentation will be placed in a formal Change Control process, with appropriate document id's and version numbers, so that ad hoc informal changes to the process and requirements cannot be enforced or accepted. If there are errors encountered, or planned changes required, the changes to the documentation will have to be formally documented, presented to a Change Control Board, and if approved used to create a new version of the documentation. When changes are made, the documentation users will be informed in a timely manner, so that they are aware of new regulations and requirements.

## ***2.3 Document the roles and responsibilities for the APD process***

This will include a description of the reengineered County APD Process, which would include:

- County staff sign offs required and incorporated in a sign off page in the APD document, as in section 2.1 above.
- How the APD review process is conducted, with a formal timeline (SLA/SLO), roles and responsibilities, and the SPOC(s) for each subject area for questions.
- The standard review process timelines and cutoff dates.
- The response expected of the counties when additional information is requested by the State.
- State staff assignments and responsibilities, including procurement, fiscal, and business.
  - The standardized steps and the associated business rules.
  - Clarification of the reviewers' roles.
  - State staff sign offs required.

All of the above documentation will be placed in a formal Change Control process, with appropriate document id's and version numbers, so that ad hoc informal changes to the process and requirements cannot be enforced or accepted. If there are errors encountered, or planned

changes required, the changes to the documentation will have to be formally documented, presented to a Change Control Board, and if approved used to create a new version of the documentation. When changes are made, the documentation users will be informed in a timely manner, so that they are aware of new regulations and requirements.

## ***2.4 Provide comprehensive training to the State and Counties***

There is a critical need for comprehensive training for both State and County staff. This will include the creation and delivery of training modules for the following subject areas. The optimum training delivery method would be Web based training, with the addition of a published SPOC list for each subject area.

- County staff APD build and submittal training.
- State and County staff Federal and State regulations training.
- State and County staff procurement practices and contracts training.
- State staff training in the County APD Process for increasing comprehension and efficiency, and also for cross-training purposes to accommodate absences and reassignments.
- County staff must have access to regularly scheduled training for APD creation, State and Federal regulations, and procurement requirements.
  - If classroom training is provided, there will be regularly scheduled classes, and the class calendar will be published on the Web.

All training supporting documentation will be placed in a formal Change Control process, with appropriate document id's and version numbers. If there are errors encountered, or planned changes required, the changes to the documentation will have to be formally documented, presented to a Change Control Board, and if approved used to create a new version of the documentation. When changes are made, the documentation users will be informed in a timely manner, so that they are aware of new regulations and requirements.

## ***2.5 Correct the identified Process Problems and include the identified Process Improvements***

The stakeholder meetings included asking each group for their perceptions of the current process' problems, and also specific improvements that should be made to the current process. These are itemized in detail in Section 7, Combined Stakeholder Information Matrix. Any potential conflicts identified between stakeholder groups' requirements, or between the stakeholder groups and external stakeholders, have been listed in Section 3 for consensus discussion and resolution.

## ***2.6 Resolve issues with the current process support tools***

The current MTSII and iManage tools were discussed with the State stakeholder groups. The CWS/CMS Project Office was the only group that regards the current tools as an acceptable solution. The other groups identified problems with the current toolset, and also identified features that they would like to have in an acceptable toolset. These are itemized in detail in Section 7, Combined Stakeholder Information Matrix.

The current toolset would become more accepted if both tools were made available to all stakeholders, and comprehensive training was conducted and continually available. There are also some features changes that could be made to MTSII to create more specificity for the APD review process.

## Section 3 - Items for Consensus Discussion and Agreement

The following are items to be discussed where there was disagreement between stakeholder groups on specific requirements, or it was felt that more inter-group discussion was needed to clarify the information.

1. Provide the counties the information to assist them in aligning their business schedules and processes with the State County APD Process.

**Discussion:** Is this possible and/or desirable?

**Resolution:** The agreed upon documentation (see section 2 above) will provide this and will include timelines, process description etc. All stakeholders will review the documentation. The documentation will include both State and Federal processes.

2. Every APD should include a sign off sheet (like the State FSR) that county managers would sign to indicate that they are stating that the APD is compliant with State and Federal regulations, and the State APD submittal requirements.

**Discussion:** Is the signoff sheet desirable? Would it add value or just impose more work on the Counties?

**Resolution:** There will be a County internal review and check-off sheet that will indicate that each area in the APD (IT, Program, Legal, Fiscal, Procurement) has been reviewed and complies with State and Federal regulations. There will be a County SPOC for each APD.

3. Improve the State Communications with, and Training of, the Counties' staff, to help improve the quality of APDs and the timeliness of the State review process. These would be regularly scheduled classes; the class calendar would be widely available.

**Discussion:** Regularly scheduled classroom training may not be possible, but training could be delivered via the Web or CBT on demand.

**Resolution:** Web/CBT is acceptable for application training but not for process training. APD process training will be delivered via classroom training bi-annually. Find out what Federal training is available.

4. Leverage the existing automation of related processes (CAPE, MAC) to automate the APD Build and Submit process. This would provide automated assistance to the Counties in building APDs and submitting them.

**Discussion:** This needs further analysis and review. Should the PO analyze other possible delivery methods?

**Resolution:** The current CAPE automation is considered to be a good foundation on which to build automated APD processing.

5. Align the State process with the County funding periods, for both the budget planning period (CAPE), and the "as needed" situations.

**Discussion:** This conflicts with Item #1 above.

**Resolution:** Not valid – see #1 above.

6. Match resource levels to the new process, to ensure there are enough resources to successfully support the new business model. The State stakeholder groups should do workload analysis to determine optimum staff levels to ensure the new process success, and also to accommodate the expected increase in the volume of APDs when all projects regardless of dollar value must be submitted via an APD.

**Discussion:** This needs further analysis and review.

**Resolution:** The Counties and State are to determine the staff levels required to successfully support the new process.

7. The State should gather all Counties planning and associated procurement information and combine it into one APD for submission to ACF.

**Discussion:** How can this work if the Counties submit APDs throughout the year?

**Resolution:** This is not feasible.

8. Allow the specification of specific manufacturers and brands for equipment, so that the Counties can ensure that it will be compatible with the existing infrastructure.

**Discussion:** This conflicts with the ACF requirement for open competitive procurements.

**Resolution:** County competitive procurement contracts for specific manufacturers/ brands should be initially approved by ACF, and then should be accepted if there are no geographical preferences. Document in the APD Guide: if A-87 Central Services Cost Plan procurement contract has been previously approved (SCO); leveraged procurements.

9. Allow the Counties to use State MSA contracts for equipment and software acquisition. This would reduce costs.

**Discussion:** Doesn't this conflict with #8 above?

**Resolution:** State MSAs would have to be pre-approved by ACF. Also, see Open Issue #1.

10. Set the claim number for an APD/project when an APD has been approved, and allow claims against a project while it is in progress. The current "conditional approval number" status cannot be used for claiming. Longer term projects can be significant capital outlay and span multiple FY's.

**Discussion:** Is this possible?

**Resolution:** Use the "phased approach" for projects, and submit completion reports for each phase. Also, see Open Issue #2.

11. Counties should have a means to escalate an APD denial to State executive management.

**Discussion:** Don't State executives sign the approval/denial letters?

**Resolution:** Set up and document an appeal process.

12. Counties also have to do a program maintenance estimate (cost of doing business such as license renewal). There is currently no process in place for approval of M&O (the CAPE does not include it), and the Counties do not want to be subjected to another APD process for that. County budget lines for M&O expenses need to align to the State budget lines[C3]. There

needs to be an easy non-duplicative process for on-going maintenance. This is currently a big issue with ACF.

**Discussion:** Is this goal within the scope of this project?

**Resolution:** See Open Issue #3.

13. The State should conduct a study to determine whether pursuing SACWIS funding is cost effective, due to the extra effort required by the State and Counties in order to try to obtain it.<sup>[C4]</sup>

**Discussion:** Is this goal within the scope of this project?

**Resolution:** SACWIS funding will continue to be pursued.

14. The APD Approval Letter is a template document (i.e. fill in the blanks to make specific) and so should not need to be reviewed, just signed and distributed. This would save 1 - 2 days in the process.

**Discussion:** Is this acceptable to Executive Management?

**Resolution:** Retain status quo.

15. Not all APDs are submitted electronically, which adds overhead to the timeline, as hardcopy documents have to be scanned in and validated before the review process can begin.

**Discussion:** The Counties may want to preserve this option; however, it does add time to the process.

**Resolution:** email of softcopies is preferred.

16. The APD review feedback is received a bit at a time, instead of in one consolidated response. This adds overhead to the timeline, and causes frustration for the Counties in responding, and additional management and tracking for CWS/CMS PO.

An APD returned to the County after the first review and resubmitted after corrections are made, goes through the entire review cycle again. This adds overhead to the review timeline as well as adds to the workload for tracking.

**Discussion:** All State stakeholder groups may not be able to accomplish consolidation.

**Resolution:** One consolidated review response is preferred.

17. The ACF requires each State to provide information from a State-managed Program view; California runs the program as a County-managed view. When information is provided to ACF it should be consolidated to provide the "State-managed" view.

**Discussion:** Should the State analyze the feasibility of County information consolidation?

**Resolution:** Not recommended and probably not possible.

18. If a County has completed the CAPE and it has been approved, when the County submits an associated APD there should be no hold up – the State knows what the County needs so why is the current process like starting from the beginning?

**Discussion:** This needs to be discussed and resolved.

**Resolution:** Not enough information in the CAPE; automation should enable the sharing of information between CAPE/APD/MAC entries.

19. The ACF 60 day approval cycle is a significant planning problem, and also a funding risk; can it be reduced?

**Discussion:** Can the State negotiate this with ACF?

**Resolution:** The ACF has its own resource constraints. The State does try to negotiate expediting. The State can share the APD process improvements and formalization with ACF to increase credibility. Find out from ACF what factors would speed up process (see Open Issue #6).

20. The State APD rules change without warning. This has happened on long projects while the project is in progress. Counties have submitted APDs that follow the content of previously approved APDs and have had the new APD denied because the rules have changed, but the Counties have not been informed of the changes.

**Discussion:** This needs to be discussed and resolved.

**Resolution:** This will be achieved by improving the documentation and process as described in Section 2 above.

21. State equipment imaging requirements can require a County to order additional equipment for copying the application image to, while the County workers use the equipment required for their work. Came from court requirement for photo.

**Discussion:** This needs to be discussed and resolved.

**Resolution:** See Open Issue #4.

22. Executive Management review should be a concurrent one day review, with built in escalation procedures if the review is not completed timely. Reviewer alternatives should be identified to manage vacation, sick, and out of office events, so that the review can proceed.

**Discussion:** This needs to be discussed and resolved.

**Resolution:** The status quo will be retained.

23. The current process supporting tools, MTSII and iManage, are considered unsatisfactory by the majority of the State stakeholders. The CWS/CMS PO is the only stakeholder group that thinks MTS and iManage are an acceptable process supporting toolset.

**Discussion:** Should more cost estimation, information, and training in MTS and iManage be given to the other stakeholders? Also, should the various tool versions and features be analyzed (e.g. web based) for applicability to all stakeholder groups?

**Resolution:** See Open Issue #5.

24. The rules for equipment replacement information in the APDs are too restrictive, as they require the specific equipment ids of the existing equipment being replaced, which may change at the time of replacement. The MAC information requirements differ from the information required for the associated APD.

**Discussion:** Can this be more flexible?

**Resolution:** See Open Issue #7.



## **Section 4 - Resource Requirements**

There are two main areas of enhanced resource requirements associated with the County APD Process improvement project.

### ***4.1 County APD Process Improvement Activities***

If the process improvement goals are to be realized there are critical tasks that must be completed in a timely manner. The majority of the stakeholder goals identified process supporting documentation, communication, and training as the key areas needing improvement. These products represent a significant staff involvement in the analysis, creation, and management of the required information.

Each of the products will require staff for coordination of effort and compilation of the information, and subject matter experts (SME) to research and create the information. The SMEs will be from the Program, Fiscal, Legal, and IT areas, and may be required to contribute to several of the supporting products; such as sections of the APD Guide, document templates, “translations” of Federal and State regulations, and procurement requirements.

The majority of the process improvements are considered to be attainable in the short term (3 to 6 months). However, if the stakeholder organizations cannot invest the required staff time this cannot happen and the risk is that the County APD Process will remain as it is with all its problems.

The CWS/CMS Project Office is in the process of identifying the tasks to be done, estimating timelines for each, and the associated resource requirements.

### ***4.2 County APD Process Support Activities***

When the new County APD Process and its supporting products are in place, there will also be a formal change management process, maintenance of product content to keep it current, current communications management, and training material management to accomplish. Also, the rule that requires every County project to be subject to APD submittal, regardless of dollar value, will be in effect which will significantly increase the volume of APDs submitted to the State for review.

When the State stakeholder organizations have studied the new environment, it may lead to the need for additional resources to ensure the timely processing of County APDs, and the success of the new County APD Process. Perhaps the first step would be to identify the additional tasks and level of effort required to manage the new process and products, and to determine the roles, responsibilities, and service level objectives of each stakeholder group.

## **Appendix G: Terms and Definitions**

Term or Abbreviation	Definition
<b>60 Day ACF Review SLA</b>	The ACF must respond to an APD request within 60 days. There are two possible outcomes of this request: <ul style="list-style-type: none"> <li>• Notification of Denial or Approval</li> <li>• Notification of deficiencies that must be addressed before approval can be given.</li> </ul>
<b>ACF</b>	Administration for Children and Families – The federal organization that approves funding for State APDs, and APDUs.
<b>ACIN</b>	All County Information Notice
<b>ACL</b>	All County Letter
<b>Acquisition</b>	Acquisition means acquiring ADP equipment or services from commercial sources or from State or local government resources.
<b>ADP or EDP</b>	Automatic Data Processing / Electronic Data Processing means data processing performed by a system of electronic or electrical machines so interconnected and interacting as to minimize the need for human assistance or intervention.
<b>Annual APDU</b>	The annual request the State must provide to ACF that requests federal funding for the following years ADP/EDP requirements.
<b>APD</b>	Advance Planning Document – The document that formally requests federal funding for a project that requires ADP/EDP goods or services.
<b>APDU</b>	Advance Planning Document Update - The document that formally requests an update to an existing APD/EDP.
<b>As Needed APDU</b>	Any APDU that is required to request additional funding beyond the Annual APDU levels.
<b>AT</b>	Federal Action Transmittal
<b>CAD</b>	County Access to Data. There are two distinct uses of CAD: <ul style="list-style-type: none"> <li>• The CWS/CMS function provided by Business Objects for reporting of CWS/CMS data that is considered a SACWIS function.</li> <li>• The daily download in Los Angeles County that is NOT a SACWIS function.</li> </ul>
<b>CAP</b>	Cost Allocation Plan – A description of the methodology used to allocate and the allocation of ADP/EDP costs between the benefiting programs.
<b>CAPE</b>	County Annual Planning Estimate. An automated WEB based program that counties use to enter their annual ADP/EDP estimated budget requirements and requests.
<b>CBA</b>	Cost Benefit Analysis. The description of program performance improvements, projected costs, and anticipated benefits that the system is expected to deliver.
<b>CBT</b>	Computer Based Training
<b>CDSS</b>	California Department of Social Services
<b>CEC</b>	County Expense Claim
<b>CFL</b>	County Fiscal Letter
<b>CFR</b>	Code of Federal Regulations
<b>CMS</b>	Case Management System
<b>COTS</b>	Commercial Off the Shelf
<b>County APD</b>	The defined request document and supporting information a county is required to submit to the State for approval to acquire ADP/EDP goods and or services.
<b>CWDA</b>	Child Welfare Director's Association
<b>CWS/CMS</b>	Child Welfare Services/Case Management System. The designated SACWIS program for California.
<b>DCA</b>	Division of Cost Allocation
<b>DOF</b>	Department Of Finance
<b>DTS</b>	California Department of Technology Services
<b>EAW</b>	Economic Analysis Worksheet
<b>EDP or ADP</b>	Automatic Data Processing / Electronic Data Processing means data processing performed by a system of electronic or electrical machines so interconnected and interacting as to minimize the need for human assistance or intervention.
<b>FAQ</b>	Frequently Asked Question
<b>FFP</b>	Federal Financial Participation. The Federal Government's share of expenditures made by a State agency under the programs.

Term or Abbreviation	Definition
FSR	Feasibility Study Report
FTE	Full Time Employee
FYI	For Your Information
IM	Information Memorandum
Initial Response SLA	The two-day period the State uses to in-process, pre-review, and notify county with confirmation e-mail or problems with pre-review.
IT	Information Technology
IV&V	Independent Validation and Verification
M&O	Maintenance and Operations
MAC	Move, Add, and Change
MOU	Memorandum Of Understanding
MSA	Master Services Agreement
MTS II	Management Tracking System 2
OMB	Federal Office Management and Budget circulars
OSI	California Office of Systems Integration
PI	Federal Program Instructions
PO	Project Office
POC	Point Of Contact
Q&A	Questions and Answers
QA	Quality Assurance. The process of monitoring specific project results to determine if they comply with relevant quality standards, and identifying ways to eliminate causes of unsatisfactory performance.
R&R	Roles and Responsibilities
RFP	Request For Proposal
RFO	Request For Quote
SACWIS	Statewide Automated Child Welfare Information System. A federal designation of a statewide system that conforms to specific requirements that receives more FFP than standard claims.
SDM	Structured Decision Making
SLA	Service Level Agreement: An SLA is the standard to which full compliance to a service or deliverable is met.
SLO	Service Level Objective
SME	Subject Matter Expert
SPOC	Single Point Of Contact
SSC	System Support Consultant
Ten Day Review SLA	<p>The period the State uses to fully evaluate the submitted APD. There are three outcomes possible from this Review:</p> <ul style="list-style-type: none"> <li>• Denial or Conditional Approval letter will be sent to the County if the APD does not need ACF approval and no further information is required of the county.</li> <li>• Notification e-mail is sent to the county that the APD will be forwarded to ACF and ACF will respond within 60 days.</li> <li>• E-mail will be sent to the county identifying all additional information and/or clarifications required to complete the review of the APD.</li> </ul>

Page: 30

[C1]Should this issue be deleted from the web posting version?

Page: 31

[C2]Is the asset management issue resolved with ACF? Should this be deleted?

Page: 6

[C3]Should this be deleted from the web posting version?

Page: 7

[C4]Should this be deleted from the web posting version?